



FOR IMMEDIATE RELEASE

December 7, 2006

FACT SHEET

CITY'S EMPLOYEE ETHICS SURVEY REVEALS NEED FOR GREATER EDUCATION AND IMPROVED REPORTING PROCESS

MAYOR REAFFIRMS COMMITMENT TO CHANGING ETHICAL CULTURE AND GREATER ACCOUNTABILITY FOR CITY'S TOP MANAGERS

RESPONSE RATE MAKES SURVEY A RELIABLE FOUNDATION FOR FUTURE ACTION

Mayor Jerry Sanders has announced the results of the first-ever comprehensive ethics survey taken by City employees earlier this fall.

The survey results show that most City employees remain unsure about the City's ethical standards and about the process for reporting lapses and violations of the City's ethics policies and procedures. They also reveal that employees believe that the City's top managers are not held to the same ethical standard as other City workers and that employees are reluctant to report violations of ethics or misconduct for fear of retribution.

The survey, administered as part of the ongoing ethics audit being conducted by the mayor's Office of Ethics and Integrity (OEI), was conducted by the Ethics Resource Center (ERC) in Washington, DC.

More than 30% of City employees provided responses through the survey process, making the overall results a reliable indication of issues and concerns among City employees.

The results will be used by the Mayor and OEI to plan the education and training programs necessary to improve employee awareness and practice of higher ethical standards.

MAJOR FINDINGS SHOW CITY FALLS BELOW NATIONAL STANDARDS OF ETHICAL CONDUCT

Results from the City Employee Ethics Survey were compared with baseline data acquired by ERC during a National Business Ethics Survey (NBES) it conducted over the past few years.

- Forty-one percent of City employees reported that had observed ethical misconduct at work while only 26% of NBES respondents said the same for their workplace.
- Fifty-two percent of City employees responded that they were “dissatisfied” or “very dissatisfied” with the City’s response to their report of misconduct. Only 44% of NBES respondents gave the same answer.
- Only 21% of those responding to the City survey said that they were “satisfied” or “very satisfied” with the City’s response to their report of misconduct compared to 44% of respondents to the NBES.
- Fifty-nine percent of City employees taking the survey believe they face situations at work that could lead to violations of the City’s ethics policies. Thirty-four percent of NBES respondents said the same about their own workplace.
- Eighty-eight percent “agree” or “strongly agree” that they are confident in their ability to recognize ethical issues that may affect their work. However, 40% say they are not fully prepared to address these issues through the City’s existing reporting processes.
- Thirty-one percent said they had “never” or “only rarely” sought guidance from the City’s ethical policies and procedures or from another resource or person within the City when facing an uncertain ethical situation. Forty-three percent said they had never referred to the ethical policies and procedures when deciding what to do about an incident of misconduct. Eighty-five percent never sought help from the City’s Office of Ethics and Integrity.

“The results of this survey confirm what I have feared about the City’s ethical climate and show the need for recommitting to our comprehensive effort to address questions of ethics from top to bottom in the City. As unfortunate as these results are, we now have the baseline data we need to let our Office of Ethics and Integrity move forward with its targeted training effort and its work to reform the ethical culture at the City.

Mayor Jerry Sanders

MAYOR SETS NEXT STEPS TO ADDRESS CONCERNS ABOUT CITY ETHICS

At the Mayor’s direction, the Office of Ethics and Integrity will undertake a series of corrective actions aimed at addressing the negative issues identified in the Employee Ethics Survey.

The Mayor has directed OEI to accelerate and refocus training efforts for City managers. Beginning in January, top and mid-level managers at the City will be given specific training on how to **encourage and promote communication about ethics issues** with City employees.

That training will address protections for whistleblowers in the City system and will be used to inform managers about the Mayor’s **specific and unwavering commitment to improving the ethical culture** at the City of San Diego.

The Mayor has also directed OEI to provide top managers with training about **ethical decision making and problem solving**. The Mayor intends to use these training efforts to make the City's top managers completely ready to assist any employee interested in reporting ethical violations or misconduct of any kind.

Mayor Sanders will also include ethical behavior and promoting communication about ethics issues as key measurements in the renewed performance evaluation process for top City managers.

In beginning its **comprehensive ethics training program with top City managers**, OEI will be addressing the concerns expressed by City workers in their responses to the Ethics Survey.

OEI began its ethics training program with two **Executive Leadership Ethics Roundtable sessions**, facilitated by experts from the Markkula Center of Government Ethics. These sessions provided up-to-date information and education for the Mayor, Chief Operating Officer, Assistant COOs, Deputy Chiefs, Fire-Rescue Chief, Police Chief, and the City's Personnel Director.

All employees, including top management, will participate in **compliance training**, scheduled to begin in April 2007. This training will specifically address ethics-related rules on topics ranging from sexual harassment; discrimination; favoritism/nepotism, gifts and favors; e-mail and internet usage; and additional whistleblower protections.

EDUCATION EFFORTS WILL INCLUDE ENTIRE CITY WORKFORCE

OEI will extend ethics **training to front-line employees** in early 2007, pending completion of the meet and confer process with the City's labor unions. In addition to compliance training, employees will also receive scenario-based training with a focus on ethical problem solving and decision-making in the workplace.

OEI will partner with the City's Human Resources/Personnel Department to adjust the City performance evaluation process so that it conforms with the Federal Sentencing Guidelines for Organizations, which calls for including ethics criterion in employee performance evaluations.

In March 2007, OEI will distribute an employee **Code of Conduct Handbook**, a compilation of all City-wide ethics-related rules, regulations, policies and procedures, as well select applicable state laws. The handbook will contain the actual policies as well as easy-to-understand commentary that explain the various rules. Each employee will receive a copy of the handbook. It will also be posted on the City's intranet for easy reference.

By spring 2007, OEI will implement a **Contractor's Code of Conduct** to outline the City's expectations regarding ethical business conduct for dealing with vendor serving the City.

Pending the meet and confer process with the City's employee unions, OEI will implement a **Pledge of Ethical Principles and Core Values for classified employees** similar to the one currently required for unclassified employees.

ABOUT THE ETHICS CULTURE SURVEY

- The Ethics Culture Survey was open from September 5 to September 29, 2006.
- More than 3,400 employees responded to the survey, for an overall response rate of 31%.
- All City employees in departments under the direction of the Mayor were invited to take the voluntary and anonymous survey. Most employees in independent departments (City Council, City Clerk, and Retirement Board) were also invited to take the survey.
- The Ethics Culture Survey sought to understand:
 - What employees think about the City's ethical culture/climate;
 - What ethics issues are important to employees;
 - How comfortable employees feel about their understanding of ethics policies, procedures and regulations;
 - Level of observation of misconduct (if any); and
 - To what extent employees feel supported when/if they bring up ethical concerns.

CITYWIDE ETHICS COMPLIANCE EFFORTS

There are currently three independent efforts related to ethical conduct in the City workplace.

The Mayor's Office of Ethics and Integrity is involved in promoting and enforcing all administrative regulations, Personnel Department regulations, Council Policies and state laws affecting ethical conduct in the City workplace.

OEI affects all employees in Mayoral Departments including the Classified and Unclassified staff serving the City. It provides training and education regarding ethical conduct for City employees and provides information regarding the City's Code of Ethics, Conflict of Interest and Employee Conduct expectations and requirements. OEI also maintains the Employee Ethics Hotline and reporting process.

The City's Ethics Commission has the responsibility of monitoring, administering and enforcing the City's governmental ethics laws, proposing governmental ethics law reforms, conducting audits and investigations, referring violations to appropriate law enforcement agencies, and advising and educating City officials and the public about governmental ethics laws. The Commission also has jurisdiction over the Municipal Lobbying Ordinance.

The Ethics Commission has no jurisdiction over classified City employees nor do the provisions of the Ethics Ordinance regulate the activities of classified City employees.

The Public Integrity Unit of the City Attorney's office focuses on the investigation and prosecution of complex cases involving; (1) fraud such as the misuse or misappropriation of public funds, false claims, and procurement fraud and; (2) official misconduct by elected and appointed officials, including intentional violations of the Political Reform Act and Government Code, conflicts of interest, the Brown Act, and incompatible activities.



City of San Diego Ethics Culture Survey Executive Summary

In September 2006, the Ethics Resource Center (ERC) administered the Ethics Culture Survey for the City of San Diego (CSD) and the Office of Ethics and Integrity (OEI). Thirty-one percent of City employees participated in the survey¹.

The ERC is a private, non-profit organization devoted to independent research and the advancement of high ethical standards and practices in public and private institutions.

Background

The Ethics Culture Survey was designed to help the OEI create initiatives to strengthen the City's ethical climate. Survey data will also be used as a baseline against which the City can gauge the effectiveness of its ethics and compliance initiatives as they are implemented.

City employees were surveyed to determine their perceptions about ethics and compliance issues in the City. Specifically, the survey measured:

- Expected outcomes of an effective ethics and compliance program, e.g., lower rates of observed misconduct;
- Awareness and usefulness of the City's ethics program;
- Exposure to situations that could lead to misconduct; and,
- Aspects of the organizational culture that relate to ethics and compliance.

Key Findings

Highlights of the findings are discussed below. For relevance and context, some are compared to U.S. averages based on the ERC's *National Business Ethics Survey*® (NBES).²

- ***There is a perception that employees are treated differently based on their level in the organization – the most senior employees are perceived to be less accountable than those who are not in management.*** Employees were asked if all levels of employees are held accountable if caught violating the City's ethical policies. Twenty-four percent agree or strongly agree that top management is held accountable,

¹ A total of 10,992 employees were invited to take the survey; 2,909 online and 504 paper useable surveys were returned. The confidence interval, or margin of error, for the survey is 1.39%.

² The National Business Ethics Survey (NBES) is a household telephone survey of a random sample of employees across the United States, and has been conducted four times since 1994. In 2005, ERC sampled 3,015 employees over the age of 18 who worked more than 20 hours per week in the 48 contiguous United States.

30% believe middle management is held accountable, and 58% believe non-management employees are held accountable.

- ***Employees are more positive about the ethical behavior of their supervisors than “top management.”*** For example, 66% percent believe supervisors “set a good example” of ethical behavior, compared to 34% believing that top management “sets a good example.” Supervisors are the primary means for reporting misconduct and are a vital instrument in the ethical conduct of the organization.
- ***Employees are not well aware of CSD resources to help them make ethical decisions.*** Thirty-one percent said they had never or only rarely sought advice from CSD’s ethical policies and procedures or another CSD person or resource when facing an uncertain ethical situation. Forty-three percent said they had never referred to the ethical policies and procedures when deciding what to do about an incident of misconduct. Eighty-five percent never sought help from CSD’s Office of Ethics and Integrity.
- ***Misconduct is observed more than the U.S. average but reported at lower levels.*** Forty-one percent of CSD employees said they had observed misconduct within the last year compared to 28% nationally. Less than half of those employees who observed misconduct said they reported it. The primary reason for not reporting is the belief that no corrective action would be taken. Fear of retaliation was the secondary factor. These rationales are consistent with NBES findings.
- ***Abusive or intimidating behavior is the most frequently observed type of misconduct, significantly greater than the national average.*** Thirty-eight percent of employees reported seeing “abusive or intimidating behavior,” compared to 23% nationally. Other types of misconduct that at least one in five employees observed were “lying to employees,” “e-mail and internet abuse,” “provision of goods or services that fail to meet standards,” “misreporting of hours worked,” “misuse of San Diego’s services or property,” “discrimination,” and “a conflict of interest.”
- ***About one-quarter of respondents felt pressure to compromise CSD’s ethical policies and procedures – almost double the U.S. average.*** Consistent with NBES findings, the most cited sources for pressure are top and middle management. However, CSD employees cite sources outside of the City as their main source of pressure at three times the rate of the U.S. average.
- ***Employees are generally confident that they can recognize ethical issues at work, but some feel unprepared to handle these issues.*** Eighty-eight percent agree or strongly agree that they are confident in their ability to recognize ethical issues that may affect their work; however, 40% say they are not fully prepared to address these issues. There is a potential for misconduct when employees may attempt to behave ethically without the necessary knowledge or skills to do so.

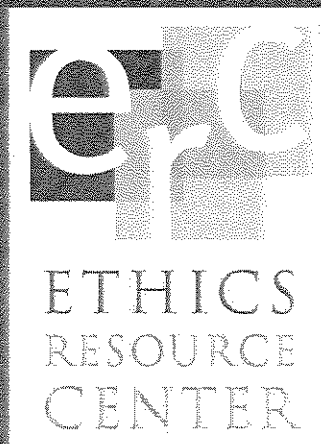
For a copy of the full report, please visit the City of San Diego Office of Ethics and Integrity (OEI) website, www.sandiego.gov/oei, or contact OEI at (619) 236-7182.

Ethics Resource Center

City of San Diego

**Ethics Culture Survey
Report:
Recommendations**

November 20, 2006





City of San Diego

Ethics Culture Survey Report Recommendations

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City of San Diego
Ethics Culture Survey Report

INTRODUCTION

The Ethics Resource Center (ERC) is pleased to submit this report to the City of San Diego (CSD or the City). This part of the report presents recommendations for the City based on the findings from a September 2006 employee ethics culture survey designed and administered by ERC.

These recommendations are preliminary and general in nature, and can help guide the City in some areas as it develops and implements its ethics and compliance program.

SURVEY HIGHLIGHTS AND RECOMMENDATIONS

Introductory note

- Because the City's program is new, and at the time of the survey consisted of only two recently developed program elements, comparison of CSD data was made against the U.S. Average: Organizations without a Formal Program Subset (U.S. subset).
- No one survey instrument can provide a definitive or complete picture of an organization. The data and findings serve to identify areas on which the City could focus as it establishes its ethics and compliance program.

Findings and Recommendations re: Expected Program Outcomes

- CSD employees report having observed misconduct at levels higher than that of the 2005 U.S. Average, 41% compared to 26%. Compared to the U.S. Average: Organizations without a Formal Program Subset (U.S. subset), CSD's reporting rate of 41% negatively compares to 28%.
- Sixty-five percent of CSD employees report having seen at least one specific type of misconduct (of 20 asked about in the survey).
- The most prevalent type of specific misconduct is 'abusive or intimidating behavior,' seen by 38% of employees compared to 23% of the U.S. subset. The next most frequently reported type of misconduct is 'lying to employees.' The other types of misconduct, which one in five, or more, reported seeing, are 'e-mail and internet abuse,' 'goods or services that fail to meet standards,' 'misreporting of hours worked,' 'misuse of San Diego's services or property,' 'discrimination,' 'a conflict of interest,' and 'improper hiring practices.' Of these, a 'conflict of interest' is observed

at rates similar to the U.S. subset (20%). The least observed type of misconduct, at 3%, is 'price fixing or other anti-competitive behavior.'

No generalized pattern emerges concerning categorization of the types of misconduct observed and their prevalence. The most frequently observed type of misconduct, 'abusive or intimidating behavior,' is characterized as interpersonal. 'Lying to employees' could be characterized as interpersonal if it is done by a direct supervisor or a co-worker, but it could also be characterized as institutional if it were done by management. A third category of misconduct is based on self-interest. This includes a 'conflict of interest' and 'misreporting of actual time or hours worked.' The absence of any pattern in the most prevalent types of misconduct seems to indicate that there is no dominant factor influencing this outcome within CSD.

Recommendation: No one categorical type of misconduct appears consistently more than another. The recommendations are to conduct focus groups to better understand the details of the types of misconduct observed, and to use those findings to guide development of the ethics and compliance program training.

- Reporting of misconduct at CSD is lower than the U.S. subset, 45% versus 52%. The primary reason for not reporting is the belief that no corrective action would be taken; CSD at 78% compared to the U.S. subset at 60%. The other most cited reasons are that the employee feared retaliation, 63% compared to 48%, and the belief that the report could not be made anonymously, 59% compared to 41%. Concerning retaliation, perception does not match the actual outcome. The data show a divergence between those employees who did not report because of their perceived fear of retaliation, 63%, and the actual outcome for those who did report where 26% reported experiencing retaliation.

Recommendation: Conduct focus groups to gain insight into this discrepancy. Gather information about what processes the organization could implement that would reassure employees that their reports are being adequately responded to, that employees would not be retaliated against if they did report, and that their reports would be handled confidentially.

- The primary way to report misconduct was to one's direct supervisor at 81%; secondly, to a coworker/peer; and thirdly to other management. The least used ways of reporting were through the Hotline at 6%, to the OEI, and to HR. ERC has observed this pattern of reporting, primarily to individuals (e.g. a supervisor at 75%) and least through institutional structures (e.g. Hotlines), in other organizations.

Recommendation: Continue developing formal means for reporting and support as part of the implementation of the ethics and compliance program. In recognition of the fact that most reports are informally made

to supervisors, CSD would have an opportunity to better understand and manage reports of misconduct if there were a standardized process for supervisors to accept and handle reports of misconduct.

- Only 23% of respondents find the City's ethical policies and procedures very or somewhat helpful in guiding their decision concerning misconduct they observed. Forty-three percent said they had never referred to the ethical policies and procedures when deciding what to do about the incident of misconduct they observed. Eighty-five percent of respondents never sought help from CSD's Office of Ethics and Integrity in that situation. Additionally, 31% said they had never or only rarely sought advice from CSD's ethical policies and procedures or another CSD person or resource when faced with a situation where they were uncertain of the course of action to take.

Recommendation: CSD should re-publicize existing resources, and instruct employees on how to use the new resources when they are rolled out. Additionally, CSD should explore why employees are not using existing resources, or communicating with others, when facing ethical work issues, and use that knowledge to guide the development of new communication processes and channels.

- Over half of the employees who reported observed misconduct (52%) were dissatisfied or very dissatisfied with CSD's response to their report. This compares to 44% of the U.S. subset. Twenty percent of CSD employees were satisfied or very satisfied compared to 43% of the U.S. subset. Satisfaction with the reporting process has the potential to translate into broader satisfaction with the organization, and increased likelihood of reporting.

Recommendation: Continue collecting and managing reports of misconduct. Explore adding additional mechanisms that would increase satisfaction with the reporting process on top of those that presently exist to collect information and report action taken.

- CSD respondents who reported pressure to commit misconduct, cited top and middle management as the main sources of misconduct (32% each), followed by coworkers. However, CSD employees disproportionately identified sources outside of the City as their main source of pressure (14% compared to 5% of U.S. subset respondents).

Recommendation: CSD should further investigate specific sources of pressure outside CSD.

- CSD employees report feeling pressured ‘all the time’ at half the rates of the U.S. subset employees, 10% versus 19%. The majority of those who report feeling pressured, 46%, indicate that they feel the pressure periodically.

Recommendation: One avenue for investigation is whether pressure is linked to specific events that might explain its periodic nature and which, if addressed, could contribute to its reduction. Considering that no dominant pattern emerges in the types of misconduct observed, another possibility is that there is no single cause of the pressure. ERC recommends that any search for the causes of pressure recognize that many small causes might be found and that the search occur with that possibility in mind.

- The question on risk reveals that three-fifths of employees (59%) believe they face situations in their work that could lead to violations of CSD’s ethics policies or the law, compared to 34% of the U.S. subset respondents.
- Fifty-seven percent of respondents indicate that they are well prepared or very well prepared to handle situations that could lead to violations of CSD’s ethical policies or the law, compared to 72% of the U.S. subset respondents. Eighty-eight percent agree or strongly agree that they are confident in their ability to recognize ethical issues that may affect their work. The ability to recognize ethical issues is important, however 40% say they are very poorly prepared, poorly prepared or neither prepared nor unprepared. This uncertainty and doubt create the potential for misconduct as employees may attempt to behave ethically but unintentionally err due to a lack of knowledge or skills.

Recommendation: Continue with implementation of the ethics and compliance program, including ethics training, issuance of the Employee Code of Conduct handbook, and other efforts that communicate the policies and standards of conduct.

Findings and Recommendations re: Formal Program Elements

- Seventy-five percent of employees respond that CSD has written standards of ethical workplace conduct, and 20% responded ‘don’t know.’ This indicates a lack of clarity about this program element. First, one in five employees does not know if there is a written code of ethical conduct, and those who believe there is a code (as described in the FSGO) are confusing it with other ethics documents issued by the City.

Recommendation: When the Employee Code of Conduct handbook is issued, make it a very significant event. Communicate that the handbook is a compendium of ethics-related rules, regulations, policies and procedures, and that it should be consulted when questions arise. Also,

reinforce OEI's availability to assist all employees with ethics-related issues.

- Training on the standards and procedures of the ethics and compliance program has just begun. Data collected in this survey is valuable for benchmarking.

Recommendation: When the next survey is conducted, expand the training section to include questions on effectiveness. Questions could be asked about types of training, methods of training, content, and applicability.

Findings and Recommendations re: Ethical Elements of Organizational Culture

- Concerning ethics-related actions (ERAs), U.S. subset data show a narrower range in the responses than CSD across the different management levels and by co-workers with only one outlier. Between 69% and 85% of U.S. subset employees agree or strongly agree that the measured ERA takes place.

The results from CSD show a wider range in the responses to numerous questions about ERAs, meaning there is less consistency in employees' perceptions of different management levels across the organization. At the low end, 24% agree or strongly agree that top management 'keeps promises and commitments,' and at the high end 71% say that supervisors 'support them in following the standards of conduct.' Generally, CSD data range between 38% and 63% agreeing or strongly agreeing that the ERAs take place.

- A pattern emerges when comparing results across management levels. Top management is perceived as least likely to display the specific ERAs, direct supervisors most likely to display the specific ERAs, and middle management in between. For example, only 34% agree or strongly agree that top management 'sets a good example,' 42% believe that middle management 'sets a good example,' and 66% believe that supervisors 'set a good example.'
- In looking at the ERAs of top management exclusively, 59% of respondents believe that top management 'talks about the importance of workplace ethics,' however, only 24% believe top management 'keeps promises and commitments' and only 34% believe top management 'sets a good example.' ERC research has shown that of the following four ERAs, talking about ethics has the least effect on outcomes in comparison with the other three – 'setting a good example,' 'satisfaction with information provided,' and 'keeping promises and commitments.' This is a case where communication by top management is important, but it is more important for

management to 'set a good example' and 'keep promises and commitments.' Research supports the adage that 'actions speak louder than words.'

Recommendation: Conduct further inquiry to understand why top management ERAs are consistently lower than those of mid-level managers and supervisors, especially as ERC measures associate the best outcomes with top management's exhibiting ERAs.

- The final ERA, accountability, provides a sense of the consistency of fairness within the organization. Employees were asked if top managers, middle managers, and non-management employees are held accountable if they are caught violating the City's ethical policies and procedures. Twenty-four percent agree or strongly agree that top management is held accountable, 30% believe middle management is held accountable, and 58% believe non-management employees are held accountable. Conversely, 43% disagree or strongly disagree that top management is held accountable, 35% middle management, and 24% non-management. The range of beliefs indicates that employees perceive a difference in how employees are treated at different management levels, and consequently indicate a perception of inequality in the organization.

Recommendation: CSD should examine results from the data it has and is collecting about misconduct and determine if there are differences in treatment of employees at various management levels. The goal is make clear that all employees are held equally accountable.

Ethics Resource Center

City of San Diego

Ethics Culture Survey Report: Findings

November 20, 2006





City of San Diego

Ethics Culture Survey Report Findings

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City of San Diego
Ethics Culture Survey Report

INTRODUCTION

The Ethics Resource Center (ERC) is pleased to submit this report to the City of San Diego (CSD or the City). This report summarizes findings and provides recommendations for the City based on a September 2006 employee ethics culture survey designed and administered by ERC.

The City's "Action Plan for Recovery," states: "The Mayor must establish the guiding principles of ethical conduct, accountability, and transparency; and redefine citizens as customers." To advance this initiative, the City of San Diego opened the Office of Ethics and Integrity (OEI) on January 30, 2006. The OEI has been charged with inventorying and reviewing existing City/department ethics-related policies/procedures/regulations and is preparing recommendations to strengthen the City's ethical infrastructure.¹ Instrumental to this effort is the ethics culture survey, administered during a period when the City is establishing its formal ethics and compliance program.

Data from the survey will serve as a baseline against which the City can measure the effectiveness of its ethics initiatives in future surveys. Other objectives of the survey are to measure employee perceptions of CSD's ethical climate and compare (benchmark) them to employee perceptions on a national level, using data from ERC's 2005 *National Business Ethics Survey*[®] and its relevant subgroups. Benchmarks to U.S. averages provide a useful context for the organization's own data; however, it is generally more constructive to set improvement goals—and subsequently, measure improvement—relative to the organization's own targets.

¹ Paraphrased from City of San Diego website, October 4, 2006:
<http://www.sandiego.gov/oei/faq.shtml#policies>

BACKGROUND

The Ethics Resource Center is the oldest non-profit in the United States devoted to organizational ethics. ERC advances understanding of the practices that promote ethical conduct, through research, measurement on the effectiveness of ethics and compliance programs in organizations, and the development of white papers and educational resources based on overall findings.

ERC takes a stakeholder, outcomes-based approach to ethics and compliance program design, implementation, and evaluation. Through a survey, ERC assesses certain, interrelated components of an effective ethics and compliance program, specifically: expected program outcomes; formal and informal ethics and compliance program structures, systems and practices; and certain ethical elements of organizational culture. ERC draws its framework from concepts expressed in the Federal Sentencing Guidelines for Organizations, as revised in November 2004 ("FSGO" or "Guidelines"). The FSGO provide significant incentives for organizations to design, implement, and enforce an effective ethics and compliance program. The FSGO also emphasize the importance of using due diligence to "promote an organizational culture of ethical conduct and compliance with the law." This framework is an accepted industry standard for program evaluation.

Following are specifics on the measures used in this assessment.

A. Expected Outcomes of an Ethics and Compliance Program (Expected Program Outcomes)

Expected program outcomes are the intended results of an ethics and compliance program, measured by specific indicators of the extent to which the organization upholds ethical standards of business conduct. The logic behind expected program outcomes is that one can gauge success by meeting or exceeding accepted benchmarks and by registering improvements in behavior, culture and conditions within the organization. For example, if an ethics and compliance program improves, one would see a decrease in violations of the organization's standards and/or the law. All things being equal, these successes would be an indication that the program is effective. Finally, measuring outcomes is an important step in determining where the organization is at risk.

The CSD ethics culture survey measured several outcomes generally expected of an effective ethics and compliance program, including:

- Reduced observation of misconduct in general
- Fewer observations of specific compliance violations
- Increased reporting of observed misconduct
- Greater satisfaction with organizational response to reports of misconduct
- Improved overall satisfaction with organization
- Decreased pressure to violate ethics standards

- Increased willingness to seek advice about ethics issues
- Decreased risk of ethical misconduct

B. Elements of a Formal Ethics and Compliance Program (Formal Program Elements)

Since 1991, the original FSGO have required specific program structures, systems, and practices. In 2004, amendments to the guidelines considerably expanded the 'minimum program requirements.' The CSD ethics culture survey measured employees' awareness of the existence of six elements of a formal ethics and compliance program, which are:

1. Written standards of conduct [USSG §8B2.1(b)(1)]
2. Effective training on standards of conduct [USSG §8B2.1(b)(4)(A)]
3. A publicized system, such as an office or telephone line, for obtaining advice about ethics issues [USSG §8B2.1(b)(5)(C)]
4. A publicized system for reporting misconduct anonymously [USSG §8B2.1(b)(5)(C)]
5. Disciplining of ethics violators so as to promote compliance and ethical conduct [USSG §8B2.1(b)(6)]
6. Evaluation of ethical conduct so as to promote compliance and ethical conduct [USSG §8B2.1(b)(6)]

As noted, the City opened its Office of Ethics and Integrity (OEI) on January 30, 2006. Prior to that, the City did not have the six elements structured into a formal ethics and compliance program. During 2006 the OEI began developing its program, and by the time of the survey's administration, it had set up methods for seeking advice on ethical issues and an Employee Hotline for reporting suspected misconduct. OEI ethics training began on an ad hoc, limited basis as opportunities arose and in response to particular departments' requests. Training at a city-wide level is in development and commenced with an executive leadership training session conducted on October 23, 2006.

Disciplining ethics violators and evaluating employee performance takes place within the existing CSD personnel structures and policies. Finally, an Employee Code of Conduct handbook is currently being developed. The handbook is a compendium of ethics-related rules, regulations, policies and procedures.

C. Ethical Elements of Organizational Culture (Ethical Culture)

Through the *National Business Ethics Survey*® (NBES), ERC measures ethical culture through several indicators of employee behavior at various levels throughout an organization. These measures of ethical culture consist of ethics-related actions of employees (ERAs), as specified in one through four below, as well as the extent to which employees perceive that management and non-management employees are held accountable to ethical standards of conduct. Organizations that collectively receive high scores on these metrics are deemed to have strong culture, and are more likely to see positive program outcomes. All eighteen of the NBES indicators (as noted with an

asterisk) are in the CSD ethics culture survey, along with five additional indicators. They are:

- 1) Top management engages in ethics-related activities, specifically:
 - ◇ Talks about the importance of ethics*
 - ◇ Sets a good example of ethical business conduct*
 - ◇ Provides information about what is going on in the organization*
 - ◇ Keeps promises and commitments*
 - ◇ Emphasizes ethical behavior even under pressure
- 2) Middle management engages in ethics-related activities, specifically:
 - ◇ Talks about the importance of ethics*
 - ◇ Sets a good example of ethical business conduct*
 - ◇ Keeps promises and commitments*
 - ◇ Emphasizes ethical behavior even under pressure
- 3) Direct supervisor engages in ethics-related activities, specifically:
 - ◇ Talks about the importance of ethics*
 - ◇ Sets a good example of ethical business behavior*
 - ◇ Provides information about what is going on in the organization
 - ◇ Keeps promises and commitments*
 - ◇ Emphasizes ethical behavior even under pressure
 - ◇ Supports employees' adherence to ethics standards*
- 4) Coworkers/peers engage in ethics-related activities, specifically:
 - ◇ Talk about importance of ethics*
 - ◇ Set a good example of ethical business behavior*
 - ◇ Emphasize ethical behavior even under pressure
 - ◇ Consider ethics when they make decisions*
 - ◇ Support employees' adherence to ethics standards*
- 5) Top management, middle management, and non-management employees are held accountable for ethics violations.*

D. Characteristics of Employees

The report also presents demographic information on management/non-management level and job category.

* Indicator measured in the NBES.

METHODOLOGY

Based on rosters provided by CSD in late August 2006, there were 10,992 employees at CSD, all of whom were invited to take the survey.² The survey was administered from September 5th through September 29th, 2006.

A total of 7970 received online access to the survey. They were provided random user IDs and passwords. A total of 3022 employees received paper copies of the survey. Thirty-two employees with online access requested and received paper copies of the survey as an alternative to the online version. Their online user IDs and passwords were disabled thus preventing them from completing both an online and paper survey. Paper survey participants were provided a postage-paid, business reply envelope that they used to send their surveys to ERC. All were advised that their responses would be kept strictly confidential and that only summarized data would be provided to the City.

Three reminder emails were sent to employees on September 14th, 21st, and 26th. Those taking the paper survey received or were exposed to reminders in the form of memoranda, posted notices and verbal reminders from department leadership.

A total of 3925 surveys were returned: 3421 online and 504 paper. Of the online surveys, 405 contained no data and 107 had two or fewer answers; some of which were 'don't know' responses. These 512 surveys were not included in the data analysis, leaving 2909 online surveys for analysis. Data from all 504 paper surveys were included in the analysis. The respective response rates were 36% online and 17% paper. Based on the final participation rate of 3413 out of 10,992 employees, the survey yielded an overall response rate of 31%. Therefore, the data sampling error, often referred to as the confidence interval, is +/- 1.39% at the 95% confidence level. In other words, in response to a question, we are 95% certain that 'x' percent of employees report a certain way, plus or minus 1.39 percentage points. Put another way, if we were to conduct the same survey 100 times, any given reported percentage would be within +/- 1.39% of the true population response 95 out of those 100 times.

The 36% online response rate is not far below typical response rates in web surveys. In a meta-analysis of 68 web-based surveys, researchers found that the mean response rate was 39.6%.³ A recent industry-wide survey conducted by the ERC had a median response rate of 53%, and ranged from 38% to 72%. The response rate for the 2005 NBES, against which this survey is compared, was 32%.

We looked at responses from the paper and online survey participants to understand if there were a difference in these two survey populations. As noted, the response rate for

² The total employee population excludes all employees in the City Attorney's office (331 employees), who, per the department's request, elected not to participate in the survey. The number also excludes the number of email invitations that were undeliverable.

³ Colleen Cook, Fred Heath, and Russel L. Thompson, "A Meta-Analysis of Response Rates in Web- or Internet Based Surveys." *Educational and Psychological Measurement* 60 (6), 2000, 821-836, p.829.

online survey participants, (2909 out of 7970) was 36% compared to 17% for paper survey participants (504 out of 3022). We compared responses from twelve randomly selected questions measuring outcomes, program elements and culture both dichotomously (yes, no responses) and on the Likert scale (strongly agree, agree...). We saw statistically significant similarities at the 95% level (probability of a Type I error $\alpha=.05$ (5%)) in responses across ten of the twelve questions. For example, 28.3% of paper based survey participants compared to 27.1% of online survey participants responded that they felt pressured by others to compromise CSD standards of ethical conduct. Concerning the question on satisfaction with the organization, a very useful question for detecting survey participant bias, 52.8% of paper based survey participants agreed or strongly agreed they were satisfied compared to 49.4% of online participants. These examples verify the hypothesis that there are no statistical differences in the responses between paper and online respondents.

There were statistically significant differences in two questions, one of which asked about 20 specific acts of misconduct. The differences were seen in 16 of the 20 components. No pattern emerged to explain why there was a difference between responses by paper and online respondents to these components.

Overall, there is a general and statistically significant similarity in responses from the online and paper survey populations, thus we do not believe there is any bias introduced by the different response rates, 36% versus 17%.

DISPLAY OF THE FINDINGS

In the tables that follow, all of the questions in the 2006 CSD Ethics Culture Survey are listed in rows and organized according to the concepts expressed in the FSGO. They are categorized into the following four sections as described in the Background section of this report: Program Outcomes, Formal Program Elements, Ethical Culture, and Demographics.

How to Understand the Tables

Each question listed in the rows of the tables is accompanied by several columns of percentages. These columns represent the responses of the following groups of employees:

1. CSD 2006

This column shows responses for all CSD employees who participated in the ethics culture survey that ERC conducted from September 5th to September 29th 2006. In this survey, 3413 employees participated.

2. 2005 US Averages – Organizations without a Formal Program Subset

The second column presents the responses of an additional subset of NBES respondents: those unaware that their organization provides all six elements described in the Elements of a Formal Ethics and Compliance section in the Background section above.

The respondents may be aware that their organization provides up to five elements, but not all six. Because they are aware of the existence of any fewer than six elements, they are considered to work in organizations that have no, or a limited ethics and compliance program. The responses of this subset of NBES respondents, therefore, are used as the primary data for comparison for the City since, at the time of this survey, the organization was just beginning to develop a formal program and had only recently implemented two of the elements, an advice line and a reporting line.

3. 2005 US Averages

This column shows the responses of all of the respondents in the 2005 *National Business Ethics Survey*[®]. NBES is a survey ERC has conducted four times since 1994.⁴

4. 2005 US Averages – Formal Program Subset

The fourth column presents the responses of a subset of NBES respondents: those who reported that their organization provides the six elements described in the Elements of a Formal Ethics and Compliance section above as indicators of the presence of an ethics

⁴ The 2005 NBES was a telephone survey of 3,015 respondents carried out between March and June, 2005.

and compliance program.⁵ Respondents who reported that their organization provides these six elements were deemed, for the purposes of this report, to work in organizations that have a formal ethics program.

ERC has found that employees in organizations that have an ethics program experience program outcomes notably different from employees in organizations that do not.

5. 2005 US Averages – Strong Ethical Culture Subset

The last column shows responses for a different subset of NBES respondents: those who perceive that their organization has a strong ethical culture. The 2005 NBES data suggest that employees who work in an organization with a strong ethical culture are more likely to see positive program outcomes than those who work in an organization that has a weak ethical culture. It can be useful for CSD to compare its own employees' responses to employees nationwide who work in organizations that have strong ethical cultures. We present responses of this subset of NBES respondents only for the questions that indicate program outcomes, as these are the elements that are strongly influenced by the ethical culture of an organization. The NBES respondents in the Ethical Culture Subset are those who report that employees in their organization engage in the activities described in the Ethical Culture section in the Background section above.

⁵ Of the 3,015 respondents in the 2005 NBES, 777 of them report that their organization provides each of the six program elements.

Understanding Percentages and Notations in the Tables

The data in the tables are expressed as percentages. Where the percentage total of a response exceeds or is less than 100%, the reason is that we follow a convention of rounding up any number .50 or above and rounding down any number .49 or below. For example, rounded up responses of .5% (1%) 'yes' and 99.5% (100%) 'no' would add up to 101%.

Numbers within parentheses indicate the number of respondents.

Cells in which "n/a" appears indicate that either the question or the answer was not offered in the survey, or that the question or the answer was offered in both surveys but dissimilar enough that they could not be compared. Footnotes and parenthetical notes describe comparisons where the questions or answers were similar, although not identical.

"N/a" will also appear in cells where ERC has derived new metrics based on knowledge gained from the 2005 NBES. These new questions capture updated information about program outcomes, program elements and organizational culture found to be more pertinent due to increases in the number of organizations that maintain ethics and compliance programs and due to increases in the level of sophistication of programs. Since these measurements are new, no benchmark data is available.

"Don't Know" and Non- Responses

Finally, for each question in the tables, ERC has included the "I don't know" responses in the calculation of percentages. Respondents who skipped the question entirely are not included in any of the calculations.

HIGHLIGHTS OF SURVEY FINDINGS

Introductory notes

- Because the City's program is new, and at the time of the survey consisted of only two recently developed program elements, a reporting Hotline and the Office of Ethics and Integrity (OEI) telephone line, comparison of CSD data typically will be made against the U.S. Average: Organizations without a Formal Program Subset (U.S. subset).
- No one survey instrument can provide a definitive or complete picture of an organization. Nevertheless, it is a valuable measure of where the organization stands at a given time. Therefore, the CSD Ethics Culture Survey provides a baseline for the City. The data and findings serve to identify areas on which the City could focus as it establishes its ethics and compliance program.

Findings re: Expected Program Outcomes

- CSD employees report having observed misconduct at levels higher than that of the 2005 U.S. Average, 41% compared to 26% (See Figure 1). Compared to the U.S. Average: Limited or No Formal Program Subset (U.S. subset), CSD's reporting rate of 41% negatively compares to 28%.

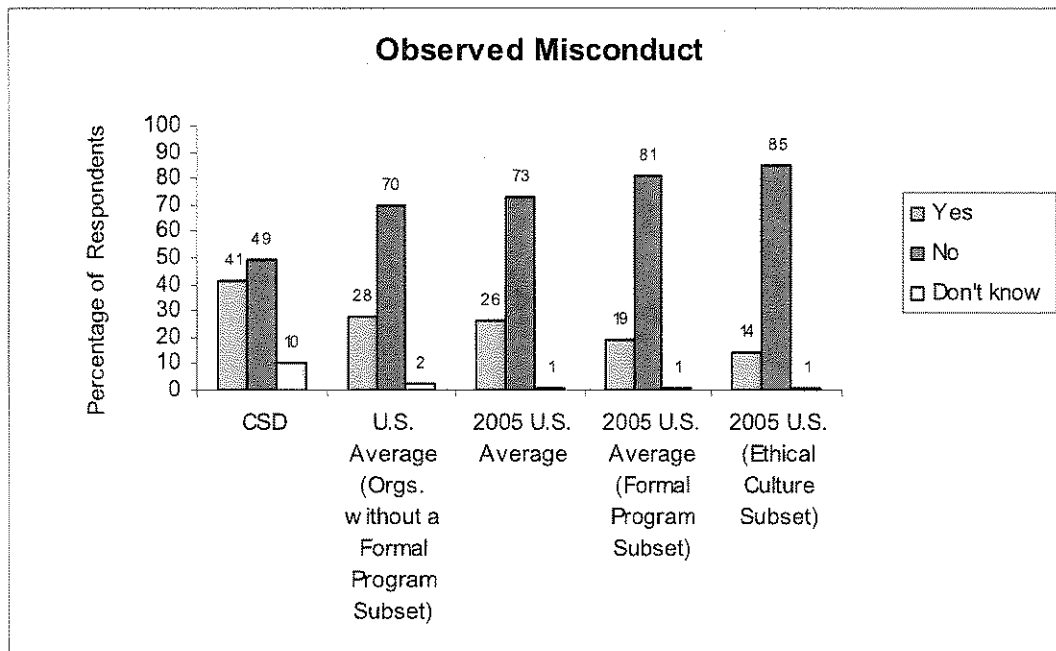


Figure 1 – Percentage who observed misconduct during the past twelve months

- Sixty-five percent of CSD employees report having seen at least one specific type of misconduct (of 20 asked about in the survey). When a comparison is made of only those types of misconduct listed in both surveys (a total of fifteen specific types), 63% of CSD employees report having observed at least one type of misconduct, compared to 55% of the U.S. subset.
- The most prevalent type of specific misconduct is 'abusive or intimidating behavior,' seen by 38% of employees compared to 23% of the U.S. subset. ERC data from the NBES survey and from other ERC surveys show that this type of misconduct is the most frequently observed.

The next most frequently reported type of misconduct is 'lying to employees,' observed by 31% of CSD respondents. The other types of misconduct, which at least one in five, reported seeing, are 'e-mail and internet abuse' (27%), 'goods or services that fail to meet standards' (25%), 'misreporting of hours worked' (24%), 'misuse of San Diego's services or property' (24%), 'discrimination' (22%), and 'a conflict of interest' (21%). Of these, a 'conflict of interest' is observed at rates similar to the U.S. subset (20%). At the other end of the range, more than two-and-a-half times as many CSD employees as U.S. subset respondents report having seen 'goods or services that fail to meet standards,' 25% versus 9%.

The least observed type of misconduct, at 3%, is 'price fixing or other anti-competitive behavior,' and is similar to the U.S. subset at 3%. This type of misconduct, along with other types related to contracting and financial activities such as 'falsification or misrepresentation of financial records or reports' at 11%, may be observed at lower rates as they pertain to functions performed within closed circles and by fewer individuals within the organization. Other types of misconduct such as 'discrimination,' for example, could be observed by anyone regardless of their function or position.

No generalized pattern emerges concerning categorization of the types of misconduct observed and their prevalence. The most frequently observed type of misconduct, 'abusive or intimidating behavior,' is characterized as interpersonal. 'Lying to employees' could be characterized as interpersonal if it is done by a direct supervisor or a co-worker, but it could also be characterized as institutional if it were done by management. A third category of misconduct is based on self-interest. This includes a 'conflict of interest' and 'misreporting of actual time or hours worked.' The absence of any pattern in the most prevalent types of misconduct seems to indicate that there is no dominant factor influencing this outcome within CSD.

- Reporting of misconduct at CSD is lower than the U.S. subset, 45% versus 52%. The primary reason for not reporting is the belief that no corrective action would be taken; CSD at 78% compared to the U.S. subset at 60%. The other most cited reasons are that the employee feared retaliation, 63% compared to 48%, and the belief that the report could not be made anonymously, 59% compared to 41%. The reasons given for not reporting rank similarly to those in the U.S. subset.

Concerning retaliation, perception does not match the actual outcome. The data show a divergence between those employees who did not report because of their perceived fear of retaliation, 63%, and the actual outcome for those who did report where 26% reported experiencing retaliation. Similar differences are seen in ERC data from other surveys.

- The primary way to report misconduct was to one's direct supervisor at 81%; secondly, to a coworker/peer at 74%; and thirdly, to other management at 58%. The least used ways of reporting were through the Hotline at 6%, to the OEI at 8%, and to HR at 15%. ERC has observed this pattern of reporting, primarily to individuals (e.g. a supervisor) and least through institutional structures (e.g. Hotlines), in other organizations.
- The data on the helpfulness of CSD's ethical policies and procedures, and the helpfulness of the OEI for employees when deciding what to do about misconduct they observed are best seen as benchmark information collected during the time when the OEI is being established and the City's Employee Code of Conduct handbook is being prepared. Current perceptions, which may reflect perceptions of the existing Ethics Commission standards and the Ethics Ordinance in the San Diego Municipal Code, show that 23% of respondents find the City's ethical policies and procedures very or somewhat helpful in guiding their decision concerning the observed misconduct.

Forty-three percent said they had never referred to the ethical policies and procedures when deciding what to do about the incident of misconduct they observed. Eighty-five percent of respondents never sought help from CSD's Office of Ethics and Integrity in that situation. Additionally, 31% said they had never or only rarely sought advice from CSD's ethical policies and procedures or another CSD person or resource when faced with a situation where they were uncertain of the course of action to take.

- Over half of the employees who reported observed misconduct (52%) were dissatisfied or very dissatisfied with CSD's response to their report. This compares to 44% of the U.S. subset. Twenty percent of CSD employees were satisfied or very satisfied compared to 43% of the U.S. subset. Satisfaction with the reporting process has the potential to translate into broader satisfaction with the organization, and increased likelihood of reporting.
- Twenty-six percent of CSD respondents said they felt pressure by others to compromise CSD's ethical policies and procedures, department policy or the law. (See Figure 2) Comparison to the U.S. subset data (12%) is only approximate. The NBES question is more restrictive, and asks respondents only about their organizations' standards of conduct with respect to achieving business or political objectives. The CSD question is broader in scope and potentially discloses more

employees who might be feeling pressure, for example those who might be feeling pressured to steal for personal gain. Considering the difference, this question is best seen as a benchmark for use in future surveying.

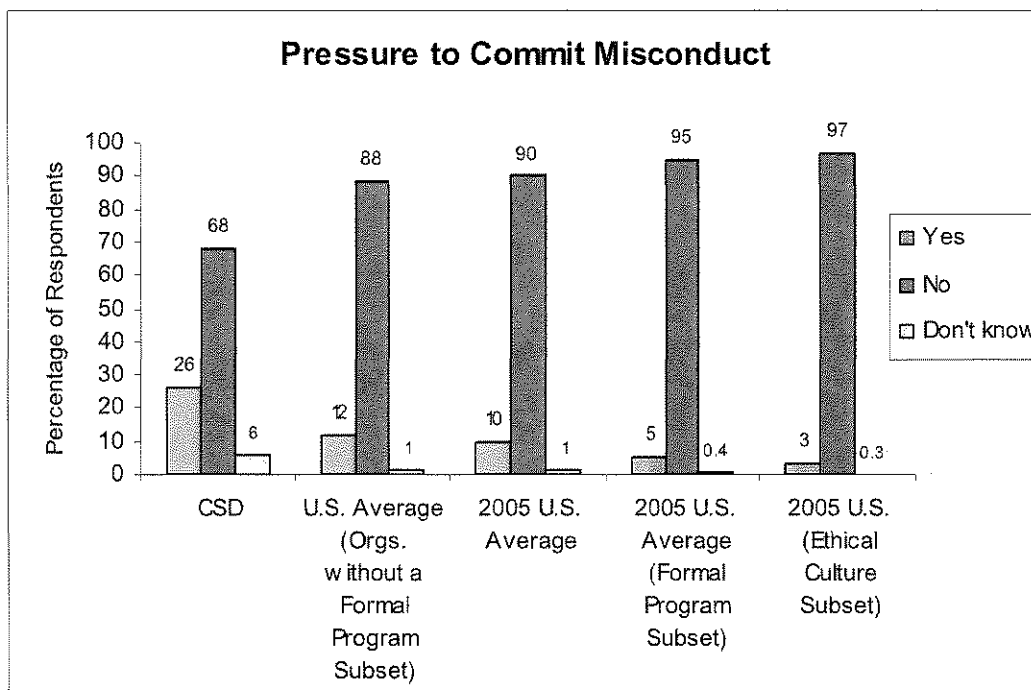


Figure 2 – Percentage who report feeling pressure to compromise San Diego's ethics standards

- CSD respondents who reported pressure to commit misconduct, cited top and middle management as the main sources of misconduct (32% each), followed by coworkers and sources outside of the City. This order is consistent with the U.S. subset. For example, 17% of CSD employees identify co-workers as the source of pressure compared to 15% of the U.S. subset employees. However, CSD employees disproportionately identified sources outside of the City as their main source of pressure (14% compared to 5% of U.S. subset respondents).
- CSD employees report feeling pressured 'all the time' at half the rates of the U.S. subset employees, 10% versus 19%. The majority of those who report feeling pressured, 46%, indicate that they feel the pressure periodically.
- The question on risk reveals that three-fifths of employees (59%) believe they face situations in their work that could lead to violations of CSD's ethics policies or the law, compared to 34% of the U.S. subset respondents. The CSD and NBES questions are not identical. NBES asks if there are currently situations that invite ethical misconduct compared to the CSD question, which asks if an employee faces situations in their work duties that could lead to violations. The CSD question

captures not only the presence of situations but also the inherent presence of those situations in the job's duties.

- Fifty-seven percent of respondents indicate that they are well prepared or very well prepared to handle situations that could lead to violations of CSD's ethical policies or the law, compared to 72% of the U.S. subset respondents. Eighty-eight percent agree or strongly agree that they are confident in their ability to recognize ethical issues that may affect their work. The ability to recognize ethical issues is important, however 40% say they are very poorly prepared, poorly prepared or neither prepared nor unprepared. This uncertainty and doubt create the potential for misconduct as employees may attempt to behave ethically but unintentionally err due to a lack of knowledge or skills.
- The final outcome measured in the survey asked about satisfaction with the organization. Forty-nine percent of CSD employees agreed or strongly agreed they were satisfied with the organization. This compares to 81% of the U.S. subset respondents who indicated satisfaction. ERC recognizes that the City is experiencing consequences from the underfunding of the Employees Retirement Fund, and going through changes to address that issue. NBES data show that in organizations that had undergone restructuring or a merger within the past two years, there was a slight reduction in satisfaction, 79%. CSD is likely experiencing a difference in this outcome based on its own situation.

Findings re: Formal Program Elements

- Seventy-five percent of employees respond that CSD has written standards of ethical workplace conduct, and 20% responded 'don't know.' This indicates a lack of clarity about this program element. First, one in five employees does not know if there is a written code of ethical conduct, and those who believe there is a code (as described in the FSGO) are confusing it with other ethics documents issued by the City.
- Questions were asked about sources for obtaining ethics advice and reporting of misconduct. Forty-one percent said they did not know if there was a way to obtain advice, and 36% said they did not know if CSD had a way to report workplace ethics violations anonymously or confidentially. The means for reporting misconduct and obtaining advice are unknown to about two in five employees.
- The FSGO set forth the requirements for formal program elements. Those addressing discipline and rewards were measured and 39% of employees agreed or strongly agreed that their supervisor disciplines violators of CSD's ethics standards, and 43% said that their supervisor evaluates them on their ethical conduct as part of their performance review. In each case, 23% did not know if these actions took place.
- Training on the standards and procedures of the ethics and compliance program has just begun. Data collected in this survey is valuable for benchmarking in future surveys.

Findings re: Ethical Elements of Organizational Culture

- Concerning ethics-related actions (ERAs), U.S. subset data show a narrower range in the responses than CSD across the different management levels and by co-workers with only one outlier. Between 69% and 85% of U.S. subset employees agree or strongly agree that the measured ERA takes place. For example, 79% agree or strongly agree that top management ‘talks about the importance of workplace ethics and doing the right thing in the work they do.’ The outlier is that 65% agree or strongly agree that co-workers talk about the importance of workplace ethics.

The results from CSD show a wider range in the responses to numerous questions about ERAs, meaning there is less consistency in employees’ perceptions of different management levels across the organization. At the low end, 24% agree or strongly agree that top management ‘keeps promises and commitments,’ and at the high end 71% say that supervisors ‘support them in following the standards of conduct.’ Generally, CSD data range between 38% and 63% agreeing or strongly agreeing that the ERAs take place.

- A pattern emerges when comparing results across management levels. Top management is perceived as least likely to display the specific ERAs; direct supervisors, most likely to display the specific ERAs; and middle management, in between. For example, only 34% agree or strongly agree that top management ‘sets a good example,’ 42% believe that middle management ‘sets a good example,’ and 66% believe that supervisors ‘set a good example.’
- In looking at the ERAs of top management exclusively, 59% of respondents believe that top management ‘talks about the importance of workplace ethics,’ however, only 24% believe top management ‘keeps promises and commitments’ and only 34% believe top management ‘sets a good example.’ ERC research has shown that of the following four ERAs, talking about ethics has the least effect on outcomes in comparison with the other three – ‘setting a good example,’ ‘satisfaction with information provided,’ and ‘keeping promises and commitments.’ This is a case where communication by top management is important, but it is more important for management to ‘set a good example’ and ‘keep promises and commitments.’ Research supports the adage that ‘actions speak louder than words.’
- The most favorable responses regarding ERAs occur with respect to supervisors. Seventy-one percent believe that supervisors ‘support them in following the organization’s ethics standards,’ 66% believe supervisors ‘set a good example,’ and 63% believe supervisors ‘emphasize ethical behavior even when working under pressure.’ As seen in the outcomes, supervisors are the primary means for reporting misconduct. In sum, they are a vital instrument in the ethical conduct of the organization.

- The final ERA, accountability, provides a sense of the consistency of fairness within the organization. Employees were asked if top managers, middle managers, and non-management employees are held accountable if they are caught violating the City's ethical policies and procedures. Twenty-four percent agree or strongly agree that top management is held accountable, 30% believe middle management is held accountable, and 58% believe non-management employees are held accountable. (See Figure 3) Conversely, 43% disagree or strongly disagree that top management is held accountable, 35% middle management, and 24% non-management. The range of beliefs indicates that employees perceive a difference in how employees are treated at different management levels, and consequently indicate a perception of inequality in the organization.

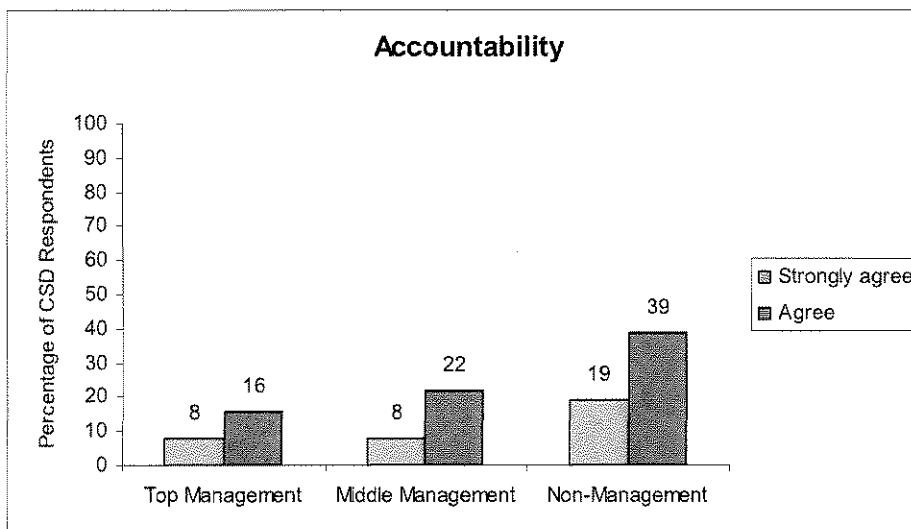


Figure 3 – Percentages who agree or strongly agree indicated management level employees are held accountable if caught violating San Diego's ethical standards

Impact of Ethics Related Actions on Outcomes

Tables 1 through 4 below illustrate the impact of ERAs of CSD's top management, middle management, supervisors and coworkers on expected program outcomes. Consistently, an increase in the presence of ERAs results in improved outcome measures. For example, among CSD employees who did not perceive that top management displays any ERAs, 54% observed misconduct in general in the 12 months prior to the survey. Among employees who perceived top management to display all four ERAs, only 16% observed misconduct. For all program outcomes and all management levels, the impact is substantial: the greater the number of ERAs employees perceive the management level in question to display, the more positive the outcome measure.

Consistently, an increase in the presence of ERAs results in an improvement in outcome measures.

Tables 1 through 3 show the impact of ERAs *across* management levels on expected program outcomes. In general, outcome measures are highest when employees perceive top management to display ERAs, decrease at the mid-management level, and are lowest when employees perceive supervisors display ERAs. For example, satisfaction with the organization is 92% for those who perceive top management to display all ERAs, 85% for those who perceive mid-management to display all ERAs, and 69% for those who perceive supervisors to display all ERAs.

For each table, a cumulative index of the number of ERAs that the employee demographic in question (for Table 1, it is top management) is perceived to display is cross tabulated with expected program outcomes. Columns represent the number of ERAs; rows indicate the expected program outcome, and the percentage of employees who say “yes” or who “strongly agree” or “agree” that the outcome is present. For example, in Table 1, among employees who didn’t observe top management displaying any ERAs, 67% observed at least one specific form of misconduct.

Table 1: Impact of Top Management ERAs on Outcomes						
	<i>No ERAs⁶</i>	<i>1 ERA</i>	<i>2 ERAs</i>	<i>3 ERAs</i>	<i>4 ERAs</i>	<i>5 ERAs</i>
<i>Percent who observed at least 1 specific misconduct</i>	67%	73%	72%	66%	56%	43%
<i>Percent of employees who observed misconduct in general</i>	54%	48%	45%	32%	30%	16%
<i>Percent who reported observed misconduct</i>	41%	46%	42%	50%	53%	62%
<i>Percent who were satisfied with CSD’s response to report</i>	6%	15%	13%	39%	53%	55%
<i>Percent who face situations that could lead to violations of stds.</i>	55%	61%	66%	59%	61%	54%
<i>Percent who feel well prepared to handle situations</i>	33%	53%	61%	71%	77%	85%
<i>Percent who felt pressure to compromise standards</i>	36%	29%	27%	20%	17%	10%
<i>Percent who were satisfied with organization</i>	24%	37%	44%	66%	77%	92%

⁶ “No ERAs” means that the respondent said “disagree,” “strongly disagree,” “neither agree nor disagree,” “don’t know,” “refused” or a combination of these five responses to all ERA questions.

Table 2: Impact of Middle Management ERAs on Outcomes

	No ERAs	1 ERA	2 ERAs	3 ERAs	4 ERAs
<i>Percent who observed at least 1 specific misconduct</i>	69%	73%	72%	59%	50%
<i>Percent of employees who observed misconduct in general</i>	56%	47%	41%	29%	20%
<i>Percent who reported observed misconduct</i>	41%	43%	45%	54%	55%
<i>Percent who were satisfied with CSD's response to report</i>	7%	11%	16%	51%	54%
<i>Percent who face situations that could lead to violations of stds.</i>	57%	59%	63%	58%	60%
<i>Percent who feel well prepared to handle situations</i>	33%	52%	63%	79%	84%
<i>Percent who felt pressure to compromise standards</i>	35%	30%	26%	16%	14%
<i>Percent who were satisfied with organization</i>	26%	40%	46%	67%	85%

Table 3: Impact of Direct Supervisor ERAs on Outcomes

	No ERAs	1 ERA	2 ERAs	3 ERAs	4 ERAs	5 ERAs	6 ERAs
<i>Percent who observed at least 1 specific misconduct</i>	63%	78%	73%	71%	74%	65%	56%
<i>Percent of employees who observed misconduct in general</i>	62%	57%	48%	49%	43%	35%	28%
<i>Percent who reported observed misconduct</i>	44%	40%	34%	42%	39%	47%	55%
<i>Percent who were satisfied with CSD's response to report</i>	2%	4%	12%	14%	25%	21%	42%
<i>Percent who face situations that could lead to violations of stds.</i>	58%	59%	58%	55%	62%	59%	60%
<i>Percent who feel well prepared to handle situations</i>	28%	33%	46%	49%	55%	69%	77%
<i>Percent who felt pressure to compromise standards</i>	44%	32%	31%	24%	25%	22%	17%
<i>Percent who were satisfied with organization</i>	17%	28%	40%	44%	44%	57%	69%

Table 4: Impact of Coworker ERAs on Outcomes

	No ERAs	1 ERA	2 ERAs	3 ERAs	4 ERAs	5 ERAs
<i>Percent who observed at least 1 specific misconduct</i>	62%	72%	72%	70%	69%	59%
<i>Percent of employees who observed misconduct in general</i>	58%	46%	48%	43%	37%	30%
<i>Percent who reported observed misconduct</i>	43%	39%	43%	43%	43%	53%
<i>Percent who were satisfied with CSD's response to report</i>	9%	7%	16%	26%	26%	32%
<i>Percent who face situations that could lead to violations of stds.</i>	54%	52%	60%	61%	59%	64%
<i>Percent who feel well prepared to handle situations</i>	32%	41%	44%	58%	64%	77%
<i>Percent who felt pressure to compromise standards</i>	35%	27%	28%	23%	23%	21%
<i>Percent who were satisfied with organization</i>	30%	40%	47%	48%	54%	63%

Impact of Culture on Outcomes

Research in the NBES shows that even when controlling for the presence of formal program elements, culture matters. We created a culture index for CSD and about 19% of employees are indexed to exhibit 'strong culture.' As described in the Background and Display of Findings sections above, 'ethical culture' is an index of twenty-three measures: the ERAs and accountability questions. A mean is created from these 23 questions on a five point scale corresponding to Strongly agree (5), Agree (4), etc. to Strongly disagree (1). Those who average a four or higher are considered to exhibit 'strong culture.'

Table 5 shows these indexed individuals cross tabulated against the expected program outcomes, that is the percentage of employees who say "yes" or who "strongly agree" or "agree" that the outcome is present. The 'strong culture' individuals display more positive outcome measures than those indexed as 'weak culture.' For example, among CSD employees overall, 49% expressed satisfaction with the organization. Among those indexed to exhibit 'weak culture,' 40% expressed satisfaction with the organization. Most strikingly, of those indexed to exhibit 'strong culture,' 87% expressed satisfaction with the organization. Culture can be developed within an organization through many

means. One of those is through implementation of an effective ethics and compliance program, the effort begun this year by CSD and measured and benchmarked in this employee ethics survey.

Table 5: Impact of Culture on Outcomes

	<i>CSD 2006 Avg.</i>	<i>CSD 'Weak' Culture</i>	<i>CSD 'Strong' Culture</i>
<i>Percent who observed at least 1 specific misconduct</i>	65%	75%	45%
<i>Percent of employees who observed misconduct in general</i>	41%	49%	15%
<i>Percent who reported observed misconduct</i>	45%	44%	62%
<i>Percent who were satisfied with CSD's response to report</i>	20%	15%	63%
<i>Percent who face situations that could lead to violations of stds.</i>	59%	61%	57%
<i>Percent who feel well prepared to handle situations</i>	58%	52%	86%
<i>Percent who felt pressure to compromise standards</i>	26%	30%	11%
<i>Percent who were satisfied with organization</i>	49%	40%	87%

COMPREHENSIVE PRESENTATION OF FINDINGS

First value in cells shows percentage of respondent; parenthesized value shows actual number of respondents.

A. Expected Outcomes of an Ethics Program						
1. Observed misconduct		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)
During the past 12 months did you personally observe conduct you thought violated the City of San Diego's ethical policies and procedures, department policy, or the law?	Yes	41% (1322)	28% (624)	26% (768)	19% (144)	14% (227)
	No	49% (1564)	70% (1568)	73% (2194)	81% (626)	85% (1353)
	Don't know	10% (314)	2% (38)	1% (43)	1% (5)	1% (14)

A. Expected Outcomes of an Ethics Program (continued)						
2. Observed Specific Types of Misconduct <i>The following questions ask about several kinds of behavior. For each one, please tell us whether you have personally observed this behavior among the City of San Diego employees in the last 12 months.</i>		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)
Sexual harassment	Yes	17% (525)	9% (212)	9% (261)	6% (49)	4% (67)
	No	79% (2506)	90% (2009)	91% (2736)	94% (727)	96% (1528)
	Don't know	4% (128)	1% (12)	0.4% (13)	0.1% (1)	0.2% (3)
Giving or accepting bribes, kickbacks, or inappropriate gifts	Yes	7% (213)	4% (81)	3% (96)	2% (15)	2% (25)
	No	89% (2812)	96% (2135)	96% (2895)	98% (760)	98% (1572)
	Don't know	4% (137)	1% (19)	1% (21)	0.3% (2)	0.1% (1)
Abusive or intimidating behavior towards employees	Yes	38% (1185)	23% (519)	20% (616)	12% (97)	8% (132)
	No	58% (1845)	76% (1699)	79% (2379)	88% (680)	91% (1461)
	Don't know	4% (129)	1% (13)	0.4% (13)	0% (0)	0.3% (4)

A. Expected Outcomes of an Ethics Program (continued)						
2. Observed Specific Types of Misconduct (continued) <i>The following questions ask about several kinds of behavior. For each one, please tell us whether you have personally observed this behavior among the City of San Diego employees in the last 12 months.</i>		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)
Discrimination against current employees based on race, color, gender, age, religion, sexual orientation, or similar categories <i>NBES - Discrimination on the basis of race, color, gender, age, or similar categories</i>	Yes	22% (683)	14% (320)	12% (371)	7% (51)	4% (63)
	No	73% (2305)	85% (1898)	87% (2619)	93% (721)	96% (1526)
	Don't know	6% (175)	1% (16)	1% (19)	0.4% (3)	1% (8)
Falsification or misrepresentation of financial reports or records	Yes	11% (340)	5% (116)	4% (134)	2% (18)	1% (23)
	No	83% (2627)	92% (2057)	93% (2808)	97% (751)	97% (1556)
	Don't know	6% (195)	3% (62)	2% (70)	1% (8)	1% (18)
A conflict of interest (a situation that places an employee's personal interests over the interests of the City of San Diego) <i>NBES - A situation that places an employee's interests over the organization's interests</i>	Yes	21% (658)	20% (447)	18% (532)	11% (85)	11% (179)
	No	72% (2266)	77% (1714)	80% (2393)	88% (679)	86% (1373)
	Don't know	7% (237)	3% (69)	3% (81)	2% (12)	3% (40)

A. Expected Outcomes of an Ethics Program (continued)						
2. Observed Specific Types of Misconduct (continued) <i>The following questions ask about several kinds of behavior. For each one, please tell us whether you have personally observed this behavior among the City of San Diego employees in the last 12 months.</i>	CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)	
Misuse of the City of San Diego's confidential information	Yes	11% (339)	8% (180)	7% (208)	4% (28)	3% (54)
	No	83% (2625)	91% (2024)	92% (2768)	96% (744)	96% (1537)
	Don't know	6% (197)	1% (32)	1% (37)	1% (5)	0.4% (6)
Misuse of the City of San Diego's services or property	Yes	24% (745)	n/a	n/a	n/a	n/a
	No	71% (2234)	n/a	n/a	n/a	n/a
	Don't know	6% (184)	n/a	n/a	n/a	n/a
Goods or services that fail to meet quality standards <i>NBES – Provision of goods or services that fail to meet specifications</i>	Yes	25% (786)	9% (210)	8% (248)	5% (38)	4% (63)
	No	69% (2172)	88% (1974)	90% (2697)	93% (723)	95% (1510)
	Don't know	6% (202)	2% (49)	2% (64)	2% (15)	2% (24)

A. Expected Outcomes of an Ethics Program (continued)						
2. Observed Specific Types of Misconduct (continued) <i>The following questions ask about several kinds of behavior. For each one, please tell us whether you have personally observed this behavior among the City of San Diego employees in the last 12 months.</i>	CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)	
Misreporting of actual time or hours worked	Yes	17% (378)	16% (470)	12% (92)	10% (152)	
	No	70% (2215)	83% (2496)	87% (678)	89% (1426)	
	Don't know	6% (190)	1% (45)	1% (6)	1% (18)	
Stealing the City of San Diego's money, property, products or services <i>NBES - Stealing or theft</i>	Yes	9% (289)	11% (319)	8% (66)	6% (101)	
	No	85% (2684)	89% (2670)	91% (707)	93% (1490)	
	Don't know	6% (187)	1% (22)	1% (4)	0.3% (5)	
Price fixing or other anti-competitive behavior <i>NBES - Price fixing</i>	Yes	3% (80)	3% (79)	1% (10)	1% (13)	
	No	91% (2884)	95% (2844)	97% (751)	97% (1550)	
	Don't know	6% (197)	3% (85)	2% (16)	2% (34)	

A. Expected Outcomes of an Ethics Program (continued)						
2. Observed Specific Types of Misconduct (continued) <i>The following questions ask about several kinds of behavior. For each one, please tell us whether you have personally observed this behavior among the City of San Diego employees in the last 12 months.</i>		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)
E-mail and internet abuse	Yes	27% (849)	12% (275)	13% (380)	14% (105)	11% (169)
	No	66% (2089)	85% (1907)	85% (2571)	85% (664)	88% (1405)
	Don't know	7% (224)	2% (54)	2% (62)	1% (8)	2% (24)
Lying to customers, vendors, or the public <i>NBES - Lying to employees, customers, vendors, or the public</i>	Yes	12% (379)	22% (480)	18% (548)	9% (68)	7% (112)
	No	82% (2577)	77% (1703)	81% (2401)	91% (698)	92% (1452)
	Don't know	6% (203)	1% (20)	1% (25)	1% (5)	1% (9)
Lying to employees <i>NBES - Lying to employees, customers, vendors, or the public</i>	Yes	31% (980)	22% (480)	18% (548)	9% (68)	7% (112)
	No	62% (1952)	77% (1703)	81% (2401)	91% (698)	92% (1452)
	Don't know	7% (228)	1% (20)	1% (25)	1% (5)	1% (9)

A. Expected Outcomes of an Ethics Program (continued)						
2. Observed Specific Types of Misconduct (continued) <i>The following questions ask about several kinds of behavior. For each one, please tell us whether you have personally observed this behavior among the City of San Diego employees in the last 12 months.</i>		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)
Violations of health or safety regulations NBES - Violation of safety regulations	Yes	17% (545)	17% (389)	16% (475)	11% (86)	8% (134)
	No	77% (2441)	82% (1823)	83% (2510)	88% (687)	91% (1458)
	Don't know	6% (176)	1% (18)	1% (22)	1% (4)	0.3% (5)
Drug and alcohol abuse	Yes	8% (261)	n/a	n/a	n/a	n/a
	No	86% (2728)	n/a	n/a	n/a	n/a
	Don't know	5% (171)	n/a	n/a	n/a	n/a
Improper hiring practices	Yes	19% (604)	n/a	n/a	n/a	n/a
	No	72% (2275)	n/a	n/a	n/a	n/a
	Don't know	9% (282)	n/a	n/a	n/a	n/a

A. Expected Outcomes of an Ethics Program (continued)						
2. Observed Specific Types of Misconduct (continued) <i>The following questions ask about several kinds of behavior. For each one, please tell us whether you have personally observed this behavior among the City of San Diego employees in the last 12 months.</i>	CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)	
Violation of environmental regulations	Yes	n/a	n/a	n/a	n/a	n/a
	No	84% (2642)	n/a	n/a	n/a	n/a
	Don't know	8% (244)	n/a	n/a	n/a	n/a
Retaliation for reporting misconduct	Yes	15% (483)	n/a	n/a	n/a	n/a
	No	76% (2403)	n/a	n/a	n/a	n/a
	Don't know	9% (273)	n/a	n/a	n/a	n/a

A. Expected Outcomes of an Ethics Program (continued)						
3a. Reporting Misconduct, and Reasons for Not Reporting		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)
Did you report your observation of misconduct to management or to another appropriate person?	Yes	45% (610)	52% (320)	54% (414)	65% (94)	64% (145)
	No	52% (704)	48% (295)	45% (344)	34% (49)	34% (76)
	Don't know	3% (44)	1% (6)	1% (7)	1% (1)	2% (5)
If you decided not to report the misconduct you observed, please tell us if any of the following influenced your decision. I did not believe it was my responsibility.	Yes	33% (232)	n/a	n/a	n/a	n/a
	No	53% (375)	n/a	n/a	n/a	n/a
	Don't know	14% (101)	n/a	n/a	n/a	n/a
I did not believe corrective action would be taken.	Yes	78% (551)	60% (178)	57% (195)	35% (17)	29% (22)
	No	15% (109)	37% (108)	40% (137)	59% (29)	68% (52)
	Don't know	7% (50)	3% (9)	3% (12)	6% (3)	3% (2)

A. Expected Outcomes of an Ethics Program (continued)						
3a. Reporting Misconduct, and Reasons for Not Reporting (continued)		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)
If you decided <u>not</u> to report the misconduct you observed, please tell us if any of the following influenced your decision (cont.). I didn't know whom to contact.						
	Yes	29% (205)	19% (57)	18% (62)	10% (5)	8% (6)
	No	62% (439)	79% (232)	80% (276)	90% (44)	92% (70)
	Don't know	9% (65)	2% (6)	2% (6)	0% (0)	0% (0)
I feared retaliation.	Yes	63% (450)	48% (141)	46% (157)	33% (16)	22% (17)
	No	30% (213)	51% (149)	53% (181)	65% (32)	75% (57)
	Don't know	7% (48)	2% (5)	2% (6)	2% (1)	3% (2)
I didn't believe I could report anonymously.	Yes	59% (423)	41% (121)	38% (132)	22% (11)	22% (17)
	No	33% (232)	57% (168)	60% (206)	78% (38)	78% (59)
	Don't know	8% (57)	2% (6)	2% (6)	0% (0)	0% (0)

A. Expected Outcomes of an Ethics Program (continued)						
3a. Reporting Misconduct, and Reasons for Not Reporting (continued)		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)
If you decided <u>not</u> to report the misconduct you observed, please tell us if any of the following influenced your decision (cont.). I thought someone else would report it.						
	Yes	15% (104)	22% (64)	23% (80)	33% (16)	41% (31)
	No	74% (527)	77% (226)	75% (258)	65% (32)	58% (44)
	Don't know	11% (79)	1% (4)	1% (5)	2% (1)	1% (1)
I resolved the issue myself.	Yes	19% (136)	n/a	n/a	n/a	n/a
	No	72% (506)	n/a	n/a	n/a	n/a
	Don't know	9% (62)	n/a	n/a	n/a	n/a
I did not think it was significant enough to report.	Yes	30% (213)	n/a	n/a	n/a	n/a
	No	58% (421)	n/a	n/a	n/a	n/a
	Don't know	12% (87)	n/a	n/a	n/a	n/a

A. Expected Outcomes of an Ethics Program (continued)						
3a. Reporting Misconduct, and Reasons for Not Reporting (continued)		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)
If you decided <u>not</u> to report the misconduct you observed, please tell us if any of the following influenced your decision (cont.). I didn't want to get someone fired.						
	Yes	23% (161)	n/a	n/a	n/a	n/a
	No	63% (445)	n/a	n/a	n/a	n/a
	Don't know	15% (103)	n/a	n/a	n/a	n/a

A. Expected Outcomes of an Ethics Program (continued)						
3b. Reporting Misconduct, and Ways of Reporting		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)
<i>Please indicate whether you reported the misconduct in any of the following ways.</i>						
I communicated my concern to my direct supervisor	Yes	81% (539)	n/a	n/a	n/a	n/a
	No	15% (103)	n/a	n/a	n/a	n/a
	Don't know	3% (23)	n/a	n/a	n/a	n/a
I communicated my concern to other management	Yes	58% (382)	n/a	n/a	n/a	n/a
	No	40% (261)	n/a	n/a	n/a	n/a
	Don't know	2% (10)	n/a	n/a	n/a	n/a
I filed a report through the Hotline	Yes	6% (41)	n/a	n/a	n/a	n/a
	No	91% (591)	n/a	n/a	n/a	n/a
	Don't know	3% (17)	n/a	n/a	n/a	n/a

A. Expected Outcomes of an Ethics Program (continued)						
3b. Reporting Misconduct, and Ways of Reporting (continued)		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)
<i>Please indicate whether you reported the misconduct in any of the following ways.</i>						
I communicated my concern to the Office of Ethics and Integrity	Yes	8% (49)	n/a	n/a	n/a	n/a
	No	90% (585)	n/a	n/a	n/a	n/a
	Don't know	2% (16)	n/a	n/a	n/a	n/a
I communicated my concern to my union representative	Yes	25% (164)	n/a	n/a	n/a	n/a
	No	73% (475)	n/a	n/a	n/a	n/a
	Don't know	2% (10)	n/a	n/a	n/a	n/a
I communicated my concern to a co-worker/peer in the City of San Diego	Yes	74% (482)	n/a	n/a	n/a	n/a
	No	25% (162)	n/a	n/a	n/a	n/a
	Don't know	1% (8)	n/a	n/a	n/a	n/a

A. Expected Outcomes of an Ethics Program (continued)						
3b. Reporting Misconduct, and Ways of Reporting (continued)		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)
Please indicate whether you reported the misconduct in any of the following ways. I communicated my concern to HR						
	Yes	15% (95)	n/a	n/a	n/a	n/a
	No	81% (527)	n/a	n/a	n/a	n/a
	Don't know	4% (27)	n/a	n/a	n/a	n/a
I communicated my concern to someone outside of the City of San Diego	Yes	37% (240)	n/a	n/a	n/a	n/a
	No	61% (396)	n/a	n/a	n/a	n/a
	Don't know	2% (14)	n/a	n/a	n/a	n/a

A. Expected Outcomes of an Ethics Program (continued)						
4. Satisfaction with Organization's Support Mechanisms		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)
How helpful were the City of San Diego's ethical policies and procedures in helping you decide what to do about the misconduct you observed?	Very helpful	5% (67)	n/a	n/a	n/a	n/a
	Somewhat helpful	18% (242)	n/a	n/a	n/a	n/a
	Not helpful	28% (374)	n/a	n/a	n/a	n/a
	I never referred to ethical policies and procedures in this incident	43% (574)	n/a	n/a	n/a	n/a
	Don't know	7% (92)	n/a	n/a	n/a	n/a
If you contacted the City of San Diego's Office of Ethics and Integrity (OEI) for advice, how helpful was it in helping you decide what to do about the misconduct you observed?	Very helpful	1% (16)	n/a	n/a	n/a	n/a
	Somewhat helpful	3% (34)	n/a	n/a	n/a	n/a
	Not helpful	5% (65)	n/a	n/a	n/a	n/a
	I never sought help from the City of San Diego Office and Integrity in this incident	85% (1129)	n/a	n/a	n/a	n/a
	Don't know	7% (92)	n/a	n/a	n/a	n/a

A. Expected Outcomes of an Ethics Program (continued)						
5a. Satisfaction with Organization's Response to Report of Misconduct		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)
Overall, how satisfied were you with the City of San Diego's response to your report of the behavior?	Very satisfied	5% (32)	22% (69)	27% (113)	47% (44)	52% (75)
	Satisfied	15% (97)	21% (66)	24% (100)	36% (34)	32% (46)
	Neither satisfied nor dissatisfied	24% (156)	13% (41)	11% (46)	5% (5)	7% (10)
	Dissatisfied	24% (159)	21% (68)	18% (73)	5% (5)	6% (9)
	Very dissatisfied	28% (186)	23% (73)	19% (78)	5% (5)	3% (5)
	Don't know	4% (27)	0.3% (1)	0.5% (2)	1% (1)	0% (0)
5b. Consequences of Report of Misconduct						
Did you experience retaliation as a result of your report of misconduct?	Yes	26% (171)	24% (78)	22% (90)	13% (12)	8% (12)
	No	57% (377)	75% (239)	77% (320)	86% (81)	90% (131)
	Don't know	16% (108)	1% (3)	1% (4)	1% (1)	1% (2)

A. Expected Outcomes of an Ethics Program (continued)						
6. Employee satisfaction with organization		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)
I am satisfied with the organization that I work for.	Strongly agree	13% (416)	33% (739)	37% (1098)	46% (359)	56% (895)
	Agree	36% (1149)	48% (1073)	48% (1449)	48% (376)	42% (664)
	Neither agree nor disagree	22% (708)	6% (126)	5% (145)	2% (19)	1% (19)
	Disagree	17% (531)	10% (212)	8% (228)	2% (16)	1% (14)
	Strongly disagree	10% (331)	3% (68)	2% (75)	1% (7)	0.4% (6)
	Don't know	1% (38)	0.4% (10)	0.3% (10)	0% (0)	0% (0)

A. Expected Outcomes of an Ethics Program (continued)						
7. Pressure to commit misconduct		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)
Do you ever feel pressured by others to compromise the City of San Diego's ethical policies and procedures, department policy or the law? <i>NBES - Do you ever feel pressured by other employees or management to compromise your organization's standards of ethical business conduct in order to achieve business or political objectives?</i>	Yes	26% (821)	12% (259)	10% (294)	5% (35)	3% (47)
	No	68% (2188)	88% (1957)	90% (2696)	95% (739)	97% (1545)
	Don't know	6% (200)	1% (15)	1% (18)	0.4% (3)	0.3% (5)
Who is the main source of this pressure?	Top management	32% (276)	38% (91)	38% (104)	38% (13)	36% (15)
	Middle management	32% (268)	41% (99)	41% (113)	41% (14)	21% (9)
	Coworkers	17% (146)	15% (36)	16% (43)	21% (7)	36% (15)
	Sources outside of the City of San Diego	14% (115)	5% (11)	4% (11)	0% (0)	5% (2)
	Don't know	5% (45)	2% (4)	1% (4)	0% (0)	2% (1)

A. Expected Outcomes of an Ethics Program (continued)						
7. Pressure to commit misconduct (continued)	CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)	
How often do you feel pressured?	All the time	10% (87)	19% (47)	19% (55)	23% (8)	7% (3)
	Fairly often	20% (173)	25% (62)	24% (67)	14% (5)	16% (7)
	Periodically	46% (398)	37% (93)	37% (104)	31% (11)	35% (15)
	Very rarely	21% (184)	18% (46)	20% (56)	29% (10)	40% (17)
	Don't know	2% (14)	0.4% (1)	1% (2)	3% (1)	2% (1)
8. Willingness to Seek Advice						
When you are faced with a business situation where you are unsure of the appropriate legal or ethical course of action to take, how often do you seek guidance from the City of San Diego's ethical policies and procedures, a person within the City of San Diego or another City of San Diego resource?	Every time	32% (1087)	n/a	n/a	n/a	n/a
	Most of the time	20% (691)	n/a	n/a	n/a	n/a
	Sometimes	12% (396)	n/a	n/a	n/a	n/a
	Rarely	12% (411)	n/a	n/a	n/a	n/a
	Never	19% (641)	n/a	n/a	n/a	n/a
	Don't know	5% (180)	n/a	n/a	n/a	n/a

A. Expected Outcomes of an Ethics Program (continued)						
9. Risk		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)
Do you face situations in the work you do that could lead to violations of the City of San Diego's ethical policies and procedures, department policy or the law? <i>NBES - Do you feel that in your current work environment there are situations that invite ethical misconduct?</i>	Yes	59% (1901)	34% (766)	33% (1003)	31% (237)	24% (389)
	No	28% (892)	63% (1395)	64% (1911)	67% (516)	73% (1161)
	Don't know	13% (423)	3% (66)	3% (87)	3% (21)	3% (45)

A. Expected Outcomes of an Ethics Program (continued)						
9. Risk (continued)	CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)	2005 US Ethical Culture Subset (%)	
In your work environment, how prepared do you feel to handle situations that could lead to violations of the City of San Diego's ethical policies and procedures, department policy or the law? <i>NBES - How prepared do you feel to handle these situations?</i>	Very well prepared	19% (378)	32% (243)	36% (362)	50% (119)	53% (206)
	Well prepared	38% (750)	40% (308)	40% (402)	40% (94)	41% (158)
	Neither well prepared nor poorly prepared	25% (482)	14% (110)	12% (124)	6% (14)	4% (17)
	Poorly prepared	10% (192)	10% (79)	9% (89)	4% (10)	2% (6)
	Very poorly prepared	5% (102)	2% (18)	2% (18)	0% (0)	0% (0)
	Don't know	3% (49)	1% (8)	1% (8)	0% (0)	1% (2)
I am confident in my ability to recognize ethical issues that may affect my work.	Strongly agree	39% (1264)	n/a	n/a	n/a	n/a
	Agree	49% (1571)	n/a	n/a	n/a	n/a
	Neither agree nor disagree	7% (209)	n/a	n/a	n/a	n/a
	Disagree	2% (61)	n/a	n/a	n/a	n/a
	Strongly disagree	1% (20)	n/a	n/a	n/a	n/a
	Don't know	2% (77)	n/a	n/a	n/a	n/a

B. Elements of an Ethics Program					
1. Code of Conduct		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
Does the City of San Diego have any written standards of ethical workplace conduct, for example, a code of ethics, a policy statement on ethics, or guidelines on proper workplace conduct that provide guidance for your job?	Yes	75% (2540)	78% (1750)	84% (2527)	100% (777)
	No	6% (201)	18% (397)	13% (397)	0% (0)
	Don't know	20% (668)	4% (89)	3% (89)	0% (0)

B. Elements of an Ethics Program (continued)

2. Reporting and advice line	CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
Does the City of San Diego have a specific office, telephone line, e-mail address, or website where you can get advice about workplace ethics issues?	Yes	52% (1757)	59% (1792)	100% (777)
	No	7% (245)	32% (975)	0% (0)
	Don't know	41% (1409)	8% (247)	0% (0)

Does the City of San Diego have a way to report violations of workplace ethics anonymously or confidentially? <i>NBES - Does your organization have a way to report violations of workplace ethics anonymously – without giving their names or other information that could identify them? Responses are Yes, No, Don't Know</i>	Yes, anonymously (you don't give your name or other information that could identify you)	20% (664)	52% (1163)	YES 64% (1940)	100% (777)
	Yes, confidentially (you give your name but it is kept private)	13% (419)	Not asked	Not asked	Not asked
	Both anonymously and confidentially	24% (805)	Not asked	Not asked	Not asked
	No	7% (244)	33% (731)	24% (731)	0% (0)
	Don't know	36% (1198)	15% (340)	11% (340)	0% (0)

B. Elements of an Ethics Program (continued)

3. Discipline of ethics violators		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
My <u>direct supervisor</u> disciplines employees who violate the City of San Diego's ethics standards.	Strongly agree	10% (319)	19% (390)	23% (668)	36% (278)
	Agree	29% (918)	49% (1024)	53% (1523)	64% (499)
	Neither agree nor disagree	23% (732)	10% (213)	7% (213)	0% (0)
	Disagree	9% (275)	12% (247)	9% (247)	0% (0)
	Strongly disagree	6% (197)	2% (45)	2% (45)	0% (0)
	Don't know	23% (754)	8% (178)	6% (178)	0% (0)
	Not applicable – I do not have a direct supervisor	1% (25)	n/a	n/a	n/a

4. Supervisor evaluates ethical conduct					
Does your supervisor evaluate you on your ethical conduct as part of your formal performance review?	Yes	43% (1431)	50% (1066)	64% (1843)	100% (777)
	No	34% (1121)	43% (900)	31% (900)	0% (0)
	Don't know	23% (769)	7% (146)	5% (146)	0% (0)

B. Elements of an Ethics Program (continued)					
5. Training		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
The employees in my department believe ethics training is valuable.	Strongly agree	11% (372)	n/a	n/a	n/a
	Agree	29% (966)	n/a	n/a	n/a
	Neither agree nor disagree	25% (842)	n/a	n/a	n/a
	Disagree	14% (487)	n/a	n/a	n/a
	Strongly disagree	8% (265)	n/a	n/a	n/a
	Don't know	13% (456)	n/a	n/a	n/a

B. Elements of an Ethics Program (continued)					
5. Training (continued)		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
If you had more than one ethics training session during the past 12 months, in which did you learn the most?	Instructor led; Instructor was in the same room	9% (312)	n/a	n/a	n/a
	Instructor led, via webcast	0.3% (10)	n/a	n/a	n/a
	Self-Directed, online	4% (119)	n/a	n/a	n/a
	Self-Directed, with written materials	1% (44)	n/a	n/a	n/a
	Self-Directed, both online and with written materials	1% (32)	n/a	n/a	n/a
	I have only participated in one training session during the past 12 months	14% (470)	n/a	n/a	n/a
	I have not participated in any ethics training sessions in the past 12 months	64% (2161)	n/a	n/a	n/a
	Don't know	6% (207)	n/a	n/a	n/a
In general, have you been able to apply what you learned during ethics training to your job?	Yes	66% (857)	n/a	n/a	n/a
	No	21% (278)	n/a	n/a	n/a
	Don't know	13% (164)	n/a	n/a	n/a

C. Ethical Elements of Organizational Culture					
1. Ethics-related actions of top management		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
Top management talks about the importance of workplace ethics and doing the right thing in the work we do.	Strongly agree	18% (577)	27% (608)	32% (951)	44% (343)
	Agree	41% (1365)	52% (1169)	52% (1570)	52% (401)
	Neither agree nor disagree	16% (528)	5% (120)	4% (133)	2% (13)
	Disagree	11% (361)	10% (226)	8% (242)	2% (16)
	Strongly disagree	8% (279)	3% (72)	2% (75)	0.4% (3)
	Don't know	6% (184)	2% (34)	1% (35)	0.1% (1)
Overall, top management sets a good example of ethical business conduct.	Strongly agree	10% (315)	28% (623)	31% (933)	40% (310)
	Agree	24% (789)	49% (1100)	50% (1503)	52% (403)
	Neither agree nor disagree	20% (650)	6% (124)	5% (150)	3% (26)
	Disagree	19% (621)	11% (246)	9% (269)	3% (23)
	Strongly disagree	21% (698)	4% (81)	3% (88)	1% (7)
	Don't know	6% (205)	2% (50)	2% (57)	1% (7)

C. Ethical Elements of Organizational Culture					
1. Ethics-related actions of top management (continued)		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
I am satisfied with the information I get from top management about what's going on in the City of San Diego.	Strongly agree	8% (265)	21% (460)	24% (713)	33% (253)
	Agree	30% (990)	49% (1096)	51% (1532)	56% (436)
	Neither agree nor disagree	20% (664)	6% (145)	6% (178)	4% (33)
	Disagree	21% (692)	16% (346)	13% (385)	5% (39)
	Strongly disagree	18% (581)	6% (144)	5% (159)	2% (15)
	Don't know	2% (73)	2% (40)	1% (41)	0.1% (1)
I trust that top management will keep their promises and commitments.	Strongly agree	6% (185)	22% (491)	24% (734)	31% (243)
	Agree	18% (577)	47% (1056)	50% (1492)	56% (436)
	Neither agree nor disagree	23% (754)	8% (174)	7% (219)	6% (45)
	Disagree	22% (710)	14% (320)	12% (358)	5% (38)
	Strongly disagree	27% (890)	7% (153)	5% (164)	1% (11)
	Don't know	4% (141)	2% (34)	1% (38)	1% (4)

C. Ethical Elements of Organizational Culture (continued)					
1. Ethics-related actions of top management (continued)		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
Top management emphasizes ethical behavior even when working under pressure.	Strongly agree	10% (335)	n/a	n/a	n/a
	Agree	31% (1014)	n/a	n/a	n/a
	Neither agree nor disagree	26% (851)	n/a	n/a	n/a
	Disagree	12% (388)	n/a	n/a	n/a
	Strongly disagree	11% (359)	n/a	n/a	n/a
	Don't know	9% (303)	n/a	n/a	n/a

C. Ethical Elements of Organizational Culture (continued)					
2. Ethics-related actions of middle management		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
<u>Middle management</u> talks about the importance of workplace ethics and doing the right thing in the work we do.	Strongly agree	14% (448)	21% (464)	25% (746)	36% (282)
	Agree	41% (1356)	54% (1202)	55% (1650)	58% (448)
	Neither agree nor disagree	19% (638)	7% (148)	6% (173)	3% (25)
	Disagree	13% (420)	11% (233)	8% (247)	2% (14)
	Strongly disagree	7% (245)	3% (58)	2% (60)	0.3% (2)
	Don't know	6% (185)	5% (106)	4% (111)	1% (5)
Overall, <u>middle management</u> sets a good example of ethical business conduct.	Strongly agree	9% (299)	24% (526)	26% (787)	34% (261)
	Agree	33% (1075)	53% (1166)	54% (1620)	59% (454)
	Neither agree nor disagree	24% (787)	6% (134)	5% (163)	4% (29)
	Disagree	17% (563)	10% (213)	8% (232)	2% (19)
	Strongly disagree	12% (381)	3% (57)	2% (65)	1% (8)
	Don't know	5% (173)	5% (112)	4% (116)	1% (4)

C. Ethical Elements of Organizational Culture (continued)

2. Ethics-related actions of middle management (continued)	CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
I trust that <u>middle management</u> will keep their promises and commitments.	Strongly agree	21% (457)	22% (670)	27% (213)
	Agree	51% (1128)	53% (1598)	61% (470)
	Neither agree nor disagree	7% (163)	7% (208)	6% (45)
	Disagree	12% (268)	10% (303)	5% (35)
	Strongly disagree	5% (103)	4% (108)	1% (5)
	Don't know	4% (99)	4% (106)	1% (7)
<u>Middle management</u> emphasizes ethical behavior even when working under pressure.	Strongly agree	n/a	n/a	n/a
	Agree	n/a	n/a	n/a
	Neither agree nor disagree	n/a	n/a	n/a
	Disagree	n/a	n/a	n/a
	Strongly disagree	n/a	n/a	n/a
	Don't know	n/a	n/a	n/a

C. Ethical Elements of Organizational Culture (continued)					
3. Ethics-related actions of direct supervisors		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
My direct supervisor talks about the importance of workplace ethics and doing the right thing in the work we do.	Strongly agree	22% (727)	26% (555)	31% (894)	44% (339)
	Agree	39% (1292)	53% (1114)	53% (1528)	53% (414)
	Neither agree nor disagree	16% (530)	6% (131)	5% (143)	2% (12)
	Disagree	11% (374)	9% (199)	7% (208)	1% (9)
	Strongly disagree	7% (243)	3% (65)	2% (67)	0.3% (2)
	Don't know	3% (90)	2% (43)	2% (44)	0.1% (1)
	Not applicable -- I do not have a direct supervisor	1% (32)	n/a	n/a	n/a

C. Ethical Elements of Organizational Culture (continued)					
3. Ethics-related actions of direct supervisors (continued)		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
Overall, <u>my direct supervisor</u> sets a good example of ethical business conduct.	Strongly agree	25% (830)	29% (599)	32% (924)	42% (325)
	Agree	41% (1332)	54% (1126)	54% (1544)	54% (418)
	Neither agree nor disagree	15% (506)	5% (99)	4% (113)	2% (14)
	Disagree	8% (249)	8% (175)	7% (190)	2% (15)
	Strongly disagree	7% (243)	3% (61)	2% (64)	0.4% (3)
	Don't know	3% (87)	2% (37)	1% (39)	0.3% (2)
	Not applicable – I do not have a direct supervisor	1% (26)	n/a	n/a	n/a

C. Ethical Elements of Organizational Culture (continued)					
3. Ethics-related actions of direct supervisors (continued)		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
I am satisfied with the information I get from my direct supervisor about what's going on in the City of San Diego.	Strongly agree	14% (450)	n/a	n/a	n/a
	Agree	39% (1264)	n/a	n/a	n/a
	Neither agree nor disagree	22% (711)	n/a	n/a	n/a
	Disagree	14% (441)	n/a	n/a	n/a
	Strongly disagree	10% (316)	n/a	n/a	n/a
	Don't know	2% (60)	n/a	n/a	n/a
	Not applicable – I do not have a direct supervisor	1% (22)	n/a	n/a	n/a

C. Ethical Elements of Organizational Culture (continued)					
3. Ethics-related actions of direct supervisors (continued)		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
I trust that <u>my direct supervisor</u> will keep his or her promises and commitments.	Strongly agree	19% (623)	28% (597)	32% (921)	42% (324)
	Agree	44% (1432)	51% (1071)	51% (1476)	52% (405)
	Neither agree nor disagree	17% (552)	5% (109)	4% (128)	2% (19)
	Disagree	9% (280)	10% (207)	8% (230)	3% (23)
	Strongly disagree	8% (259)	4% (83)	3% (87)	1% (4)
	Don't know	3% (88)	2% (40)	1% (42)	0.3% (2)
	Not applicable – I do not have a direct supervisor	1% (21)	n/a	n/a	n/a

C. Ethical Elements of Organizational Culture (continued)					
3. Ethics-related actions of direct supervisors (continued)		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
My direct supervisor emphasizes ethical behavior even when working under pressure.	Strongly agree	19% (621)	n/a	n/a	n/a
	Agree	44% (1441)	n/a	n/a	n/a
	Neither agree nor disagree	19% (611)	n/a	n/a	n/a
	Disagree	7% (237)	n/a	n/a	n/a
	Strongly disagree	6% (181)	n/a	n/a	n/a
	Don't know	4% (125)	n/a	n/a	n/a
	Not applicable -- I do not have a direct supervisor	1% (29)	n/a	n/a	n/a

C. Ethical Elements of Organizational Culture (continued)					
3. Ethics-related actions of direct supervisors (continued)		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
My direct supervisor supports me in following the City of San Diego's ethics standards.	Strongly agree	23% (737)	27% (576)	31% (897)	41% (321)
	Agree	48% (1542)	57% (1201)	57% (1640)	56% (439)
	Neither agree nor disagree	16% (503)	5% (96)	4% (105)	1% (9)
	Disagree	4% (116)	7% (156)	6% (163)	1% (7)
	Strongly disagree	4% (120)	2% (33)	1% (33)	0% (0)
	Don't know	5% (175)	2% (39)	1% (40)	0.1% (1)
	Not applicable – I do not have a direct supervisor	1% (31)	n/a	n/a	n/a

C. Ethical Elements of Organizational Culture (continued)					
4. Ethics-related actions of coworkers		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
My coworkers/peers talk about the importance of workplace ethics and doing the right thing in the work we do.	Strongly agree	15% (497)	18% (401)	20% (591)	24% (190)
	Agree	40% (1306)	47% (1057)	50% (1515)	59% (458)
	Neither agree nor disagree	22% (727)	12% (277)	11% (334)	7% (57)
	Disagree	14% (449)	16% (361)	14% (423)	8% (62)
	Strongly disagree	7% (216)	4% (87)	3% (93)	1% (6)
	Don't know	3% (89)	2% (46)	2% (50)	1% (4)
Overall, my coworkers/peers set a good example of ethical business conduct.	Strongly agree	15% (491)	24% (536)	26% (784)	32% (248)
	Agree	46% (1518)	60% (1330)	60% (1802)	61% (472)
	Neither agree nor disagree	22% (730)	6% (144)	6% (176)	4% (32)
	Disagree	9% (286)	7% (160)	6% (180)	3% (20)
	Strongly disagree	5% (170)	2% (36)	1% (36)	0% (0)
	Don't know	2% (80)	1% (23)	1% (28)	1% (5)

C. Ethical Elements of Organizational Culture (continued)					
4. Ethics-related actions of coworkers (continued)		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
My coworkers/peers emphasize ethical behavior even when working under pressure.	Strongly agree	12% (393)	n/a	n/a	n/a
	Agree	43% (1403)	n/a	n/a	n/a
	Neither agree nor disagree	27% (874)	n/a	n/a	n/a
	Disagree	8% (274)	n/a	n/a	n/a
	Strongly disagree	5% (148)	n/a	n/a	n/a
	Don't know	5% (149)	n/a	n/a	n/a
My coworkers/peers carefully consider ethical issues when making work-related decisions.	Strongly agree	13% (416)	27% (606)	30% (905)	38% (299)
	Agree	42% (1373)	55% (1228)	55% (1661)	56% (433)
	Neither agree nor disagree	23% (757)	6% (127)	5% (149)	3% (22)
	Disagree	10% (322)	7% (158)	6% (176)	2% (18)
	Strongly disagree	4% (136)	3% (63)	2% (65)	0.3% (2)
	Don't know	7% (232)	2% (52)	2% (55)	0.4% (3)

C. Ethical Elements of Organizational Culture (continued)					
4. Ethics-related actions of coworkers (continued)		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
My coworkers/peers support me in following the City of San Diego's ethics standards.	Strongly agree	15% (490)	25% (551)	27% (806)	33% (255)
	Agree	48% (1537)	60% (1346)	61% (1827)	62% (481)
	Neither agree nor disagree	23% (729)	6% (133)	5% (156)	3% (23)
	Disagree	5% (158)	6% (140)	5% (155)	2% (15)
	Strongly disagree	3% (82)	1% (22)	1% (22)	0% (0)
	Don't know	7% (227)	2% (36)	1% (39)	0.4% (3)

C. Ethical Elements of Organizational Culture (continued)					
5. Accountability for ethics violations		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
<u>Top managers</u> are held accountable if they are caught violating the City of San Diego's ethical policies and procedures.	Strongly agree	8% (260)	26% (579)	30% (888)	40% (309)
	Agree	16% (524)	47% (1040)	48% (1424)	49% (384)
	Neither agree nor disagree	17% (554)	6% (129)	5% (155)	3% (26)
	Disagree	19% (621)	11% (236)	9% (263)	3% (27)
	Strongly disagree	24% (780)	4% (98)	4% (105)	1% (7)
	Don't know	15% (493)	6% (139)	5% (162)	3% (23)
<u>Middle managers</u> are held accountable if they are caught violating the City of San Diego's ethical policies and procedures.	Strongly agree	8% (269)	26% (568)	29% (868)	39% (300)
	Agree	22% (718)	49% (1084)	50% (1490)	52% (406)
	Neither agree nor disagree	19% (619)	6% (131)	5% (155)	3% (24)
	Disagree	18% (587)	10% (211)	8% (236)	3% (25)
	Strongly disagree	17% (553)	2% (48)	2% (55)	1% (7)
	Don't know	15% (481)	7% (164)	6% (177)	2% (13)

C. Ethical Elements of Organizational Culture (continued)					
5. Accountability for ethics violations (continued)		CSD 2006 (%)	2005 US Average Orgs. without a Formal Program Subset (%)	2005 US Average (%)	2005 US Average Formal Program Subset (%)
Non-management employees are held accountable if they are caught violating the City of San Diego's ethical policies and procedures.	Strongly agree	19% (619)	30% (668)	33% (981)	40% (313)
	Agree	39% (1260)	56% (1235)	55% (1663)	55% (428)
	Neither agree nor disagree	15% (474)	4% (84)	3% (99)	2% (15)
	Disagree	9% (288)	7% (149)	5% (162)	2% (13)
	Strongly disagree	7% (228)	1% (23)	1% (26)	0.4% (3)
	Don't know	11% (358)	3% (66)	2% (70)	1% (4)

D. Characteristics of Employees			
		CSD 2006 (%)	2005 US Average (%)
Do you consider yourself top management, middle management, a first line supervisor, non-management or a non-supervisor? ⁷	Top management	2% (63)	19% (249)
	Middle management	12% (384)	32% (414)
	First line supervisor	26% (817)	42% (542)
	Non-management or non-supervisor	57% (1807)	n/a
	Don't know	3% (100)	6% (75)

What of the following best describes your job?	Administrative Support and Field Service Unit	15% (465)
	Professional Unit	31% (979)
	Supervisory Unit	7% (231)
	Technical Unit	9% (278)
	Public Safety Unit	21% (670)
	Maintenance, Labor, Skilled Trades and Equipment Operator Unit	11% (356)
	Don't know	6% (186)

⁷ City of San Diego's data are not precisely equivalent to the NBES data as NBES did not provide 'Non-management or non-supervisor' as a choice to respondents.